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ABSTRACT

In this monograph, the authors attempt to illustrate some of the more important components of decentralization and participative management with examples, or working models. Many of these models, according to the authors, function to illustrate the concept, provide models for adaptation, and inform the readers about districts that can be contacted for additional information. The authors argue against considering decentralization and participative management as panaceas that will solve all the problems in a school or a district. However, they co end, these components can provide a structure that stimulates creative participation. The authors also consider decentralization and participative management to be tools that can be utilized to move the schools into the "seventies and the eighties"; tools that can be used to bridge the gap between teachers and management, between management and the board, and between the board and the people. In short, the writers feel that these are tools that can be used effectively to build accountability into education. (Author)

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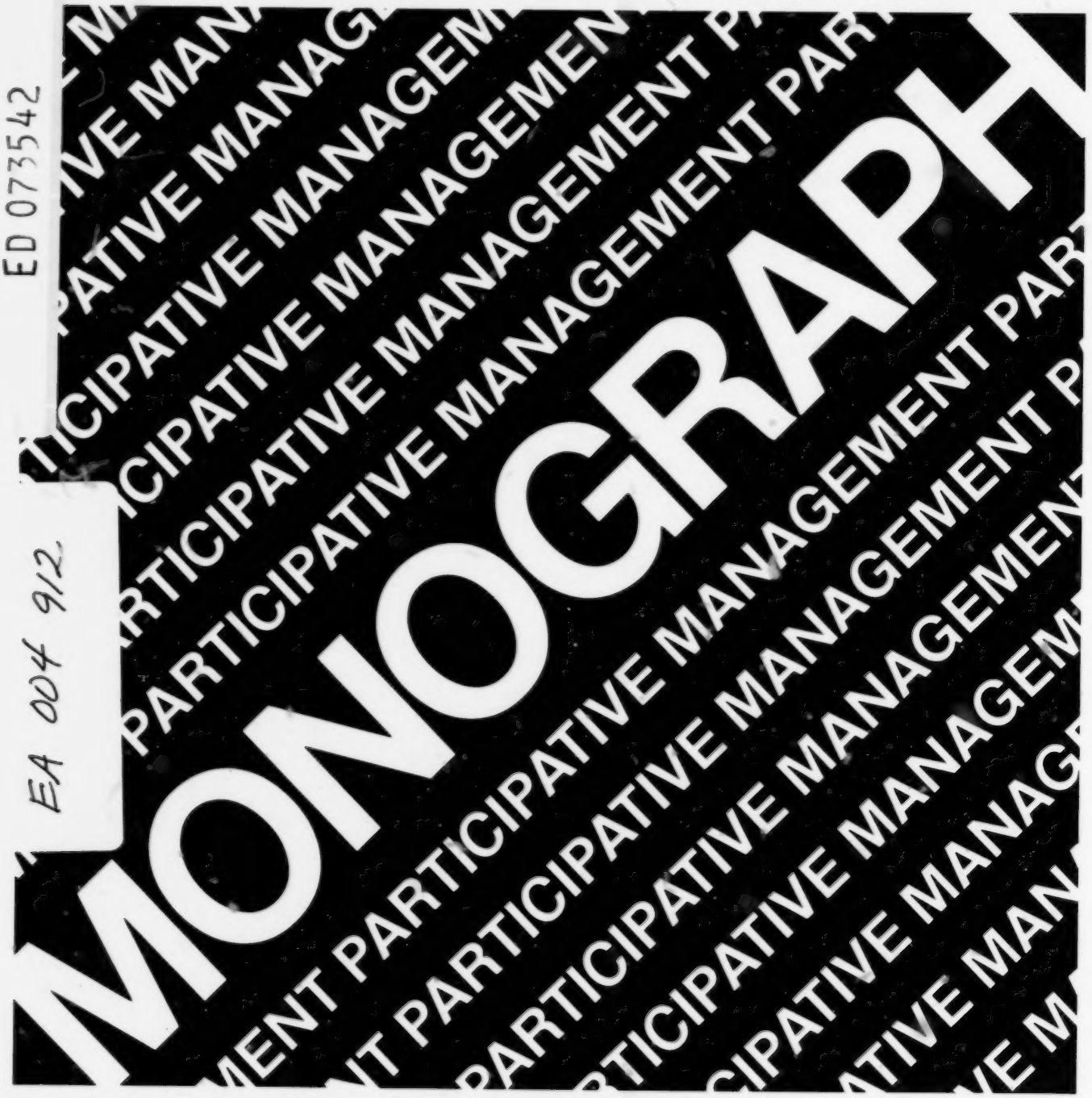

PROFESSIONAL DEVELOPMENT PROGRAM/ASSOCIATION OF CALIFORNIA SCHOOL ADMINISTRATORS

ABOUT THIS MONOGRAPH

This monograph is a compilation of forward-looking exemplary education management practices. It will be followed by periodic special update supplements. The supplements will reflect new ideas and practices as they emerge, and serve as a continuum to the concepts reported in this publication.

Readers are encouraged to keep this monograph and others to be published by the Association of California School Administrators as a handy deskside reference on the state of the art.

ABOUT OUR EDITORS

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ED 073542

Participative management and decentralization of instruction is definitely one of the most promising trends of the future.

ACSA's Project Leadership has brought to educational leadership in California a program designed to demonstrate in a practical way the new skills needed by today's successful school administrator in order to meaningfully involve the staff, community and students in the "total school."

The examples utilized in this monograph are "real case studies" of districts and personnel who are willing to take the extra steps so necessary to make "good" schools even better!

This monograph outlines and reports on some of the concepts in Project Leadership in detail. However, it is, in reality, an involvement process. Only by "getting into the action" will the individual administrator really learn how to apply these new skills. Through teamwork of staff, community, students and central office, our schools can become the viable, responsive institutions to lead us to a better and brighter future.

William L. Cunningham
Executive Director, ACSA

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PREFACE

The people and the Legislature in the state of California, not unlike peoples and lawmakers in most areas of the nation, are crying out that the public schools need to be more responsive and more accountable.[1]

This is evident in numerous ways: the large number of tax and bond elections which are failing,[2] the wave of state legislation commencing in 1968[3] directing new approaches to education and the general concern expressed by parents, business and the media. Much of this expressed concern is divergent and contradictory.

Some of the legislation has been at apparent cross purposes; for example, only after two years of operation did the Commission on Program Planning Budgeting System (PPBS) and the Joint Legislative Committee on Goals, Objectives and Evaluation start coordinating their work.[4] Even with this coordination, however, as late as July 1972 there was conflict on the technique and timing for establishing goals and objectives and the need to establish a form of PPBS.[5]

This same conflict of purpose or desire exists within the patrons of the school in virtually every district and every state, as evidenced by the demands of some parents and citizens for "Return to the 3 R's," while others are extolling the virtues of "Open Education," the need to teach students inquiry techniques and greater skills of critical thinking. Some citizens are claiming the schools do not teach citizenship, the need to understand, accept and respect others, while still another group is clamoring "it is not the role of the school to change behaviors and/or attitudes." The point is that neither side is totally right or wrong in our pluralistic society. What the parents, citizens, legislators and even students are saying is, "We think education can do a better job," -- "We think education has not been too responsive to the people," -- "We want a part in shaping the education of students, the citizens and leaders of tomorrow."

This cry for relevance and involvement has not been confined only to those outside the educational institution. One only needs to read the professional journals to find that many teachers are also saying, "We want to be involved in shaping educational policy and procedures. Let us be contributing participants."

As one would suspect, the conflict that exists in the Legislature and our communities, in philosophy and goals, also sometimes exists within educational staff who say, "I only have time to teach; do not bother me with these other details." As previously mentioned, others are saying, "I want a piece of the action. I am the one closest to the learner; let me participate in the decision making." Here again, there is no one hundred per cent right or wrong position, but as educational leaders, *WE MUST LISTEN!* Parents, teachers, legislators and students are saying, "All of the old ways of education are not good." It is a time for a *re-examination of involvement* -- whom and for what? -- of purpose, process, and achievements.

> *When educators, school boards, and government officials alike admit that we have a great deal to learn about the way we teach, we will begin to climb up the staircase toward genuine reform.*
>
> Richard M. Nixon
> 1970 Message on Education and Reform

This monograph has been designed to discuss and describe two elements: *Decentralization* and *Participative Management*, which many educators believe hold particular promise in reshaping and revitalizing education. This monograph, while primarily concerned with concepts and solution techniques in California, is easily appropriate with modification throughout the nation. California's problems are not unique.

ACKNOWLEDGMENTS

The writers of this monograph want to acknowledge the significant contributions made by educators in California, and particularly persons connected with "Project Leadership" of the Association of California School Administrators, for the work they have done in cooperation with personnel in their school districts.

Acknowledgment and appreciation are extended for much practical, operational material which has been quoted from reports written by the superintendents and/or members of their staffs listed on the page entitled, "Source Acknowledgments" in the back of this publication.

There are other fine working models of decentalization and participative management in the state which could have been cited if space permitted.

A special acknowledgment is also extended to Mr. Frank Mattas, Director of the San Mateo County Educational Resources Center and his personnel. Additional information and bibliography are available from SMERC, 590 Hamilton Street, Redwood City, California 94063 (415) 369-1441.

INTRODUCTION

If schools are to become more responsive to the learner, to their patrons and staffs, there must be some dramatic changes from what currently exists in far too many instances. The changes in technology in the last ten years have exceeded those of the last one hundred years, and it is reported that this will double within the next ten years. The changes in society within the last five years are also quite dramatic. A few simple examples: high school deans are no longer measuring the length of girls' skirts from the knee, or the length of a boy's hair. Laws (eighteen year old vote), mores (drugs, school attendance), likes (music, dress), and attitudes (anti-war, ecology awareness) have also changed significantly. Certainly there are still many similarities, but one only needs to listen to the radio, watch TV, or *really talk with our students* to become aware of these changes. Like it or not, parents too are changing. As students are changing, many parents are confused. They are becoming uptight, conservative, dissatisfied. Others are becoming more liberal, confused, relaxed, dissatisfied, and/or combinations of all of these.

With the technological and societal change that is taking place it is the opinion of your authors that it is essential that *participative management* be utilized for it is becoming increasingly impossible for a single school administrator or teacher to keep abreast of all of the changes that are taking place. Greater utilization of decentralization of decision making will be required to promote needed change in education.

PARTICIPATIVE MANAGEMENT

Svenning[6] describes participative management as having the following components: "(1) the principle of supportive relationships,* (2) group problem finding, problem solving and decision making methods, and (3) high performance goals as a basis for operation."

The *value of participative management*, however, *is* obviously *confined within the parameters of what decisions the group is permitted to make.* Participative management can be most effective in an institution and with leaders which are not bureaucratic. Some typical tendencies or components of bureaucratic organizations are listed by Svenning,[6] Cleland and King[8] as follows:

1. *Vertical Pyramid Structure of Command* -- Decisions are made at the top (school board - superintendent) and passed down to each successive layer of subordinates until it reaches the classroom. Those on the bottom do what is prescribed, and periodically pass information or reports on up through the hierarchy.

2. *Departmental Alignment* -- The district is broken into departments or divisions, Business, Personnel, Education or Instruction, Support Services, Transportation, Maintenance or Operations, etc. Often division loyalty and/or rivalry actually interferes with achievement of total district goals.

3. *Fixed Organizational Status* -- Each individual is assigned his specific duties and responsibilities via job description or other device, and is unfortunately rarely encouraged to exceed expectation or responsibility.

4. *A Well Defined System of Procedures and Rules for Dealing with All Contingencies Relating to Work Activities* -- Rules tend to be fixed and rigid -- difficult to change. The purpose for the rule or procedure, far too often long since forgotten, or to be maintained more for tradition than for mission.

5. *Large Size* -- Size and bureaucracy tend to go hand-in-hand. Usually the larger the organization the more structured. It might be noted, however, that unfortunately your authors have observed some very small districts that were highly autocratic and bureaucratic.

6. *Impersonality in Operation* -- Because of heavy reliance on policy, procedure and tradition the operation often becomes impersonal in dealing with individuals. It is the procedure and individual's position which determine what an individual may or may not do, rather than need or objective.

7. *Parochialism* -- It is best to do what is told and expected, don't "make waves" for fear you may lose a promotion or receive reprisals - "assigned bus duty" or some such miserable reward. "Be a 'yes' man!"

8. *Subordination of Individual Objectives to Organizational Goals and Objectives* -- Organizational goals are established by the board/superintendent, and are expected to be followed even if an individual or staff believes that some other goals and objectives may be equally or more important to their school or class.

9. *Tendency to Perpetuate Itself* -- Often individuals or divisions tend to shift from prime goals and objectives in order to expand and/or perpetuate themselves. This shift or expansion may or may not be related to institutional goals, and often is not the priority area for resources.

10. *Fragmented and Inadequate Information Flows for Decision Making* -- This is probably one of the single most important of the ten descriptions listed. Because of the hierarchical structure of the organization, broad and far-reaching decisions are made at the top and passed from echelon to echelon for implementation. Those actually implementing the decisions seldom have the purpose or background for the decision. In being asked to implement on "blind faith" and without supporting data, they often misinterpret or only minimally carry out the decision. Also, those at the implementation level far too often have new information or information of mitigating circumstances that somehow has not yet filtered up through the system to the decision makers. Consequently, neither the top level nor the bottom level has all of the information needed to have effected the best

possible decision, and then to have that translated into the most efficient action. A second problem in the fragmented information flow is the decision that is made at the top and then only communicated to part of the personnel affected. This obviously creates problems of efficiency, morale and misunderstanding. This problem is so frequent and so serious in any kind of organization that one of your authors for a number of years has had a little placard on the wall which simply states, "To Whom It May Concern." Among other things, it serves to remind him to effectively communicate with all who need to know, both horizontally with others but also in both directions in the vertical flow of communications. Efficiency and morale are improved when those who are affected by decisions, policies, procedures, have an opportunity for input on their ideas and supporting data and/or understand the need for a certain decision. Decentralization and participative management do not totally eliminate the problems of communications but *when you can decentralize the decision making down to the level that has to implement the action, and you effectively utilize the techniques of participative management, wonders can be achieved!*

Newcomer,[9] in an article in the California School Boards Association magazine asks, "Can a district organize itself to increase its chance of becoming a dynamic, self-renewing organization that constantly changes to improve the teaching and learning of students?" Your authors and some other educators in the state believe this can be achieved.

This monograph will describe some of these models in action -- programs which ARE IN OPERATION and can be observed in the districts cited which offer a chance to become a dynamic, self-renewing organization that constantly changes to improve the teaching and learning of students.

It is probably possible to utilize participative management at various levels without further decentralization of authority or responsibility but, as previously stated, these decisions would have to be made within the few areas which have already been delegated. It is also probably possible to decentralize more responsibility and still have no participative management but rather just having the same old autocrats -- or bureaucrats -- just making more decisions. In the opinion of your authors, however, this is an aimless and purposeless debate. We are convinced that decentralization and participative management are so intertwined and so supportive of each other that throughout the remainder of this monograph we shall rarely attempt to differentiate between the two.

ASSUMPTIONS

Your authors and the other educators cited in this monograph while never totally unanimous in every nuance of organization, administration and management, are, however, concerned and committed to a new concept of operation of the schools of California. This new concept has differing

definitions. Cook states it as, "Management is defined here as the art and science of planning, organizing, motivating, and controlling human and material resources and their interaction in order to attain a predetermined objective . . . . management is a broader activity than is administration. The former focuses on a process of decision making which is considered one of the tasks of management, while the latter focuses on implementation of policy and the provision of administrative support. . ."[10] Drucker has stated it another way, "Management is the development of people, not the direction of things. It is the totality of the process necessary to challenge people to high purpose, to involve them significantly in planning and decision making, and to help them develop working relations among themselves that are satisfying and productive in accomplishing the aims of the institution of which they are a part."[11] This new concept, to be implemented in a public school district, must be translated into basic assumptions.

> *Any prescription for school improvement must first concern itself with the characteristics of the school as an institution.*
>
> Edward Wynne
> New Models for American Education

PHILOSOPHICAL RATIONALE

One philosophical rationale was developed by Van Deren[12] and others in Soquel Elementary School District. "A prime requirement for school districts is the creation and implementation of a learning management system that facilitates responsible instructional innovations and efficient allocation of resources that will result in measurable improvement of learning.

"Traditionally, school districts have been organized so that most of the decision making resides in the central office staff. This tends to stifle creative actions, so that much of the potential effectiveness of the principal and the teacher goes unrealized. What is needed is a total school district learning management plan that places instructional decision making as close to the learner as possible, and encourages two-way initiating action. This learner-oriented management process best begins with the measurable identification of learner needs as related to societal requirements, both present and future.

"It is with this learner-orientation in mind that a comprehensive plan for decentralized school district learning management has been developed. Its development was guided by the following broad philosophical concepts:

* Top priority should be given to the needs of the learner rather than teacher or administrative convenience.

* For the individual to be creative, he must have freedom and authority to make decisions.

* With freedom goes responsibility, and with responsibility goes accountability.

* Freedom to make decisions is kept within the broad policies of the Board of Trustees.

* Decentralization achieves relevant, measurably greater creativity than centralized decision making.

"*Need for Continuous Planning for Change and Improvement*.

It must be recognized that the school is part of a larger ever-changing world, that these changes affect each person within a school district. Needs are changing, values are changing, technology is changing. Provision must be made for a system of planned renewal.

"However, incidental and unplanned change results in inefficiency, waste, and an increased possibility of ineffective action. Therefore, a dynamic, forward-looking, concerned school district requires a system approach using continuous planning for change and improvement. The system approach is a method of planning that proceeds in an analytical manner through a problem-solving process that requires pre-established performance objectives and results in relevant and practical learning outcomes.

"An essential ingredient to such a system is that educators take a serious look at existing programs and determine whether they are as effective as they might be. The goals of the school district should be assessed, and a determination should be made of goal priorities based upon documented learner and societal needs.

"The focus should be on valid results rather than on processes. In other words, learning must be directed by a system based on management by objectives.

"On-going monitoring devices should be developed and employed to determine the effectiveness of programs.

"*Have Confidence in Others to Make Decisions*. Decentralization requires that confidence be placed in individuals to make decisions. A basic assumption is that educators are competent; that they are knowledgeable and have the necessary problem-identification and problem-solving skills.

"The concept of the self-fulfilling prophecy is placed in operation; that is, people will tend to become what we expect them to be. If educators are viewed as competent creative individuals they will *be* competent individuals. This basic assumption must be accepted and is essential to the success of a decentralized approach to learning management.

"Thus, educators within a district are given both authority *and* responsibility until they prove themselves incapable of exercising such authority and responsibility.

"Decentralization allows creative, high potential managers to exercise their talents creatively; at the same time it identifies those managers who are basically dependent and unable to fulfill management responsibilities.

"*Tolerance for Diversity*. Decentralized decision making in a school district requires that all segments of a school community develop a tolerance and enthusiasm for diversity, whether they be members of the board of trustees, superintendent, principals, teachers or citizens in the community. There should be agreed-upon common basic goals and objectives for the district as a whole.

"Minimal objectives should include the bedrock basic building-block skills such as reading, figuring, etc., upon which individual creativity and success may be built. However, the ways the various individuals and groups of individuals work toward the achievement of these objectives may vary greatly. We should recognize the requirement, as well as the desirability, for each individual to have the freedom to be unique. Recognition that principals have differing leadership styles, teachers have differing teaching styles, and students have differing learning styles is essential.

"When we recognize this, it follows that we must also recognize that there will be a great diversity in educational programming within a school district.

"*Respect for the Competencies of Teachers*. When the competencies of teachers are assumed, the role of the teacher in the processes of in-service growth is altered. The focus is no longer on finding ways to 'improve' the teacher, but rather upon reducing the learning problems of students. Thus, when a specific learning problem has been identified, the principal and the teacher or teachers concerned with the problem work together as colleagues toward its resolution.

"The net result is the 'improvement' of the teacher's professional competence as measured by the skills, attitudes, and knowledge that students acquire. Teacher improvement will be a natural consequence of knowledge and skills gained in the problem-solving process.

"Recognition must be given continuously to the fact that the vast majority of today's teachers are professionals, and if treated like professionals will act like professionals. As a professional the teacher measures his own growth in terms of relevant changes in the learner. The teacher has the right to fail, but the ultimate obligation to succeed.

"By becoming a learning manager the teacher will be inclined to use a system approach process to achieve relevant learning outcomes.

PARTNERS ON THE EDUCATIONAL TEAM

"*The Teacher.* The implementation of a system of management by objectives -- a system that focuses on results rather than methodology -- places the teacher in a true participating partnership with the principal, superintendent, and learner. Recognition for his professional expertise is part of a general recognition of the growing and increasing professional competencies and capabilities of teachers. The teacher is no longer 'low man on the totem pole,' he is a full partner on a team of professional educators.

"*The Learner.* The schools are for learners. If the learner does not agree to the objectives, either through faith or understanding, the educational results will suffer. Therefore, he must be included in educational planning.

"*The Administrator.* In a system of management by objectives the administrator plays a vital support role by assisting teachers in achieving relevant goals for learners. He serves as a catalyst for change, fulfills a monitoring function, and serves as a resource person to the teacher.

"*Parents and Other Members of the Community.* Parents and other members of the community need to be involved in developing learning goals. They need to be kept informed of the plans for achieving these goals and of the method of determining whether or not the goals have in fact been achieved."

PHILOSOPHY RELATIVE TO MANAGEMENT

Another example of organizational or management rationale or philosophy is expressed by Oswalt.[13]

"The managerial philosophy of the Rowland Unified School District encompasses the following propositions:

1. Our organizational pattern must facilitate rather than restrict interaction within the organization.

2. The primary emphasis shall be placed upon the achievement of objectives -- objectives expressed as desired *outcomes* or *end results*. The total school district, divisions, schools, departments, and individuals must manage their work against objectives and plans for achievement of these objectives.

3. That programs not be considered as ends in themselves but only as means for achieving the desired results, and that the value of a program is directly related to its degree of effectiveness in actually achieving those results.

4. We must fully mobilize the energy of the district's human resources

toward achievement of our performance objectives. The effectiveness and achievement of results need not be, and in fact cannot be, at the expense of human dignity of individuals in the organization; the function of management is to provide them with significant, challenging and satisfying roles and working relationships, while at the same time maximizing their productivity in accomplishing the aims of the organization.

5. That each individual in the organization is entitled, as a matter of right:

   * To a clear understanding of the objectives of the organization, and of the division and departmental unit of which he is a member.

   * To have clearly defined, realistic, yet challenging objectives which he, as an individual, is responsible and accountable for producing. School administrators and school teachers alike are responsible for their performance, and it is in their interest as well as in the interest of our community and its students that they be held accountable.

   * To have resources adequate to meet his objectives and as much freedom as possible to seek and use the most effective ways to produce results.

   * To have only one supervisor; there should be many places and persons from which an individual can seek advice, guidance and assistance, but no one other than his supervisor should normally have the authority to direct, veto or evaluate his performance.

   * To have frequent and objective assessments of the degree to which he is achieving the results for which he is responsible and accountable.

6. Participative management within delegated levels of responsibilities shall be practiced throughout the organization.

"In participative management, a decision should always be made at the lowest possible level and as close to the scene of action as possible. Moreover, a decision should always be made at a level insuring that all activities and objectives affected are fully considered. The first rule tells us how far down a decision should be made. The second how far down it can be made, as well as which managers must share in the decision and which must be informed of it.

"Participative management also means:

   * *Before* making a decision which will directly affect an individual, that individual is entitled to be heard as to what he thinks the decision should be and how he perceives the effect

of the decision, and

* *After* such a decision is made, that individual is entitled to an explanation of the reasons for the decision.

"It should *not* be confused with various forms of abdicating of responsibility for making decisions -- such as permitting decisions to be made by majority vote, by consensus or by committee.

"There will be occasions when members of the organization may not participate in the decision making process. However, once the decision has been made, members of the organization are expected to be supportive."

7. Individuals have different abilities and capacities for growth; each individual should be encouraged to accept responsibilities and achieve to his greatest potential; the organization should avoid imposing general rules and regulations designed to protect against "mistakes" because such rules and regulations tend to be designed with the least competent individuals in mind, and uniform application of those rules will tend to force all individuals to perform uniformly at the lowest common level of competence.

8. That channels of communication should be kept as free and open as possible. Any person in any part and at any level of the organization should be encouraged to go directly to any other part or person in the organization for information or assistance needed to perform his job. "Going through channels," in the restrictive sense, is applicable only to situations involving directions, approvals or vetoes.

BOARD ACTS TO REORGANIZE DISTRICT

As reported by Hoffner and Thayer,[14] Santa Clara Unified School District translated similar philosophies as follows:

"The Board of Education recognizes that the teacher, next to the learner, is the most important part of the learning process. It is, however, the individual principal in the local school with its own community, staff and students, who best can effect change in American education. To effect change, the principal and his staff need new means of operation. The old structures and limitations of traditionally organized school districts are too restrictive."

As a result of the management study (Arthur D. Little Co.) and the desire to be more effective at the local school level, the Board of Education adopted Policy 2000, which describes thirteen organizational characteristics for the forward-looking school district as basic guidelines for planning, administering, and evaluating the effectiveness and efficiency of the organization. These characteristics are listed below:

1. *Participation* which will decentralize the decision-making and involve instructional and administrative personnel at all levels.

2. *Differentiation* which recognizes each school as a functional unit.

3. *Centralized service* which gives direction and the help of special resources to the local school.

4. *Philosophy* of education and operational procedures which will be clearly stated on the general level by the Board, understood by all personnel, and used as a framework for decisions by all local school staffs.

5. *Objectives* which will be determined in individual schools in accordance with district policy.

6. *Priorities* which will be rationally established so that resources can be used with maximum effectiveness.

7. *Variety* which will spring from schools' variable response to local needs.

8. *Flexibility* which refers to loose linkages of the schools with one another and with the administration will enable problems to be solved and ideas to be introduced in a number of ways.

9. *Adaptability* involving readiness to grow, develop, and adjust in a pragmatic manner to circumstances as they present themselves.

10. *Professional pride* or a sense of professional integrity for principals and teachers which will spring from their opportunities to try out new approaches to their work and their accountability for the results.

11. *Program budgeting* which will involve a rationale and carefully sought out matching resources and programs according to the level of their priority.

12. *Management information systems, electronic data processing systems, and programmed scheduling of support services* by sophisticated modern equipment which will increase the efficiency of information storage and retrieval and the usefulness of information for action.

13. *Evaluation* which will be carried out at all levels. Local school staffs will review their objectives and programs with the aid of the administration. The superintendent and the board will also check organizational performance against job descriptions and program outlines on a districtwide basis. In all cases, the direction of the ongoing change will be corrected by experience.

CENTRALIZATION vs. DECENTRALIZATION

WHAT -- TO WHOM

Immediately upon considering the concepts of decentralization and participative management, the question arises, decentralize what and to whom?

GUIDELINES FOR DECENTRALIZATION-CENTRALIZATION MANAGEMENT PATTERNS

BACKGROUND

Nicoll and his staff in Newport-Mesa have developed and adopted a policy "2114 - Statement of Management and Operations Principles for Newport-Mesa Unified School District" related to that topic, which is as follows:[15]

"A management approach was adopted upon the inception of the Newport-Mesa Unified School District that led toward a greater degree of decentralization of authority to various division levels within the district in order to achieve more effective management. The specific decisions and rationale of where to decentralize and centralize authority has much to do with the success of planning and the attendant factors basic to a successful school district. Subsequently, the Newport-Mesa Unified School District has adopted a policy entitled, 'Management and Operations Principles for Newport-Mesa Unified School District.' The following supplement is prepared to provide background and guidelines for this form of management for staff information and use to continue the development, implementation, evaluation and revision of the organization of the district."

RULES AND REGULATIONS

Decentralization-Centralization Patterns. A decentralized form of management applies to the encouragement and support of management decisions by those directly responsible for the actions of others and ensuing results. Decentralization, without the word "management" attached, is also used to describe geographical boundaries within a larger structure, that is, to divide a larger component to a smaller administrative area.

The Statement of Educational Principles of the District describes the end result as reasonable progress for each student, each year in all subjects or courses taken.

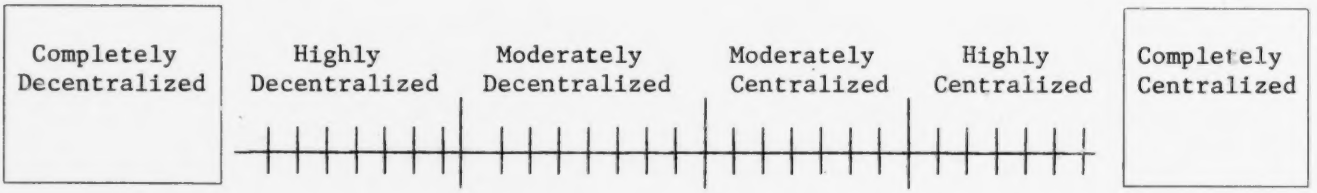
Decentralization exists in other countries, but it is particularly appealing under our form of government. This is so partly because our form of government as expressed in the Constitution has been formulated around decision making at local levels - "Government of the People, by the People and for the People. . ." and as such, our American educational system is a unique part of the intent of our founding fathers as referred to in terms of education being a "national interest, state responsibility

and local function." Therefore, it is surprising that with this national structure and potential support from our ideals, decentralization has not been given more serious attention and development in the public school setting. Only in the last few years have school districts initiated any serious examination of this concept as it might be applied to education.

The small school districts have provided leadership because of their belief that there must be a better way of placing authority for decision making and carrying out decisions than those practiced in traditional patterns. The larger districts have provided a type of assistance because the existing patterns are so rigid and slow for response to a need for change that school personnel cannot react to any kind of unusual event without virtually an Act of Congress. (Most of the large districts are looking at decentralization as breaking the whole into smaller subdistricts, which, of course, primarily recognizes the physical size or condition of a district and should not be confused with the decentralization management concept for decision making and administration.)

The terms, "decentralization" and "centralization," when applied to organizational structure extremes, are actually impossible to realize in a pure form. Complete decentralization would result in each person being the sole member of his own school district with the freedom to make all decisions in all areas, independent of anyone or anything else. Complete centralization would result in a dictatorship with no one but the dictator provided with the authority to make a decision. Even if it were possible to organize with each one of these extremes, it would not serve a community to meet its goals and objectives with any degree of sureness. The productive organization will be a well planned combination of decentralized and centralized authority.

The purpose of the decentralization-centralization question is primarily for efficiency (doing the right things) and effectiveness (doing things well) with the resources available (people, time, facilities, materials, equipment and funds). Since each school district has varying resources, the best balance will result in different decentralization-centralization patterns to form a total organizational entity. What is best for one organization will not be for another, and as such, decentralization-centralization should be viewed as a continuum as illustrated in the following diagram rather than a "yes-no" category.



Thus, the question, "Is the school district centralized or decentralized?" is relatively useless, but rather, "What should be decentralized and what should not be decentralized, and why?" To restate:

> *The only justifiable purpose for making the decision between decentralized-centralized organization and management is to increase the chances that more people will do the RIGHT THING better.*

Decentralization in Relation to Responsibility and Accountability.

Many have stated that one can be accountable for something only equal to the level of his authority. After all, it only makes good sense that a person shouldn't be held accountable for something that he does not have authority to decide about or do. While this concept apparently makes good sense, it is not practical. One seldom, if ever, has all the authority needed for bringing about a specific result. One does not have sufficient authority to establish whether or not people will vote "yes" on a tax override, whether or not a staff gets the flu and thus is rendered incapable of carrying out a prior decision. Yet, even though one cannot be held accountable for the act itself (people not voting "yes," illness of the staff), he can be held accountable for the result (a lack of desired result of an assignment, no matter what the cause may be). There may be a valid reason(s) why a result was not obtained, but accountability should be established without confusing it with reasons why some outcome might not be obtained.

Thus, authority to obtain results and responsibility and accountability for obtaining results are seldom equal, but rather, authority for obtaining results is usually less than the accountability for obtaining results. It is also important to note that the larger the discrepancy between authority for obtaining results and the accountability for the results, the less likely the person will hold himself responsible for the outcome. Thus, it should be the district's intent to provide as much authority as possible to obtain accountable results. Responsibility, accountability and auditing are defined in the following:

Responsibility. Responsibility comes when an assignment is given to achieve a specific result outcome within an organizational structure.

Accountability. Accountability is providing evidence for the outcome of an assignment or decision. When authority for decision making is placed, accountability for the outcome should also be made clear. Whether the outcome is good or poor is separate from accountability itself and is used as information for decision making in the district's organizational structure.

Auditing. Auditing is a process used to verify accountability information. Audits determine if the accountability information accurately represents the facts of the matter. Auditing does not determine the desirability or undesirability of the results within a responsibility/

responsibility result area; it only determines if accountability information is accurate. Whether or not the results in the accountability report were on target is determined by the degree of similarity between the pre-stated outcomes of the original assignment and the result obtained.

Levels of Authority and Criteria. Definitions of authority levels to be used in the Newport-Mesa Unified School District are provided in the following levels:

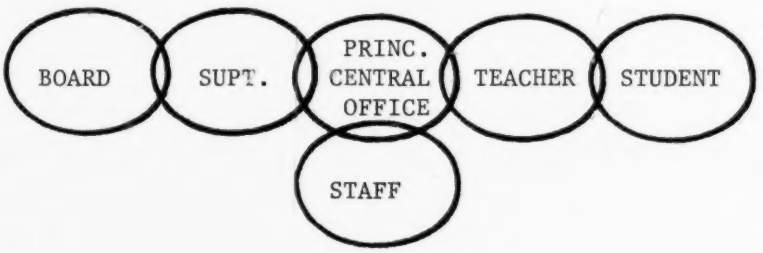
1. Has complete authority to decide or act (within limits of Board Policy and Rules and Regulations, law, social mores and conscience).	A principal/operating unit head has the authority to either use or delegate the use of assigned resources to make decisions or take action toward the accomplishment of designated result(s). (This is assuming that the decision maker has sufficient information of district operations, policies, rules and regulations, position statements and legalities to predict the major consequences an action or decision could have on other operating units and/or community.)
2. Has complete authority to decide or act, but must inform someone of action.	Same as above but the decision is such that a specific staff member(s) not assigned to that school/operating unit requires information about the decision or action to do the job.
3. Has authority to act with prior approval from someone.	A principal/operating unit head must obtain prior approval before the decision can be enacted when the action requires resources (funds, assistance, etc.) from another operating unit(s)/division(s), or if the action could significantly affect some other operating unit(s)/division(s).
4, May be consulted, but decision or direction comes from someone else.	The decision is in an area where there are either no implications or only minor areas for other operating unit(s)/division(s) and where responsibility for carrying out the decision is within the jurisdiction of another person either in or out of the division.
5. Seldom, if ever, participate in making these decisions.	The decision is in an area where the principal/operating unit head has no assigned responsibility and his operating unit will not be significantly affected by the action or decision.

General Criteria. Decentralization of authority to an individual position in the district should be made consistent with the responsibility and expected outcomes of that position. Thus, when examining the Principal level, it seems apparent that the first priority to decentralizing authority relevant to having each student make reasonable progress each year in each skill and knowledge area would be with those variables relating most directly with the outcome, while lower priorities would be given to areas not as directly related to the outcome, e.g., decisions concerning these variables that have a direct bearing on the student instructional program that can be adequately planned, implemented, evaluated, revised and reported at the school level should be decentralized. The variables that would take significant amounts of time away from the main responsibilities of the Principal or that cannot be adequately planned, implemented, evaluated, revised or reported at the school level should be centralized in an appropriate manner.

Criteria examples for decentralization-centralization of authority are as follows:

Decentralization Criteria	*Centralization Criteria*
Individual solutions needed. (e.g., staffing pattern at an individual school)	A uniform solution is required. (e.g., teacher salary schedule, placement on teacher salary schedule, screening candidate for legal qualifications, law demands a uniform solution)
Decisions needed frequently. (e.g., how best to spend funds allocated within school)	Negative consequences of decision go far beyond the place where the decision was made. (e.g., deciding not to pay for a service that was traditionally paid for)
Decisions needed quickly. (e.g., to suspend a student for misbehavior)	Decisions based on information which can only be available at a central location. (e.g., where to place a new school.

There are organizational levels of decentralization within any structure. A typical school district structure has these opportunities to decentralize:



Board	- Superintendent
Superintendent	- Principal - Central Office
Principal	- Teacher
Central Office	- Staff
Teacher	- Student

Receiving and Transmitting Authority. It is not unusual to find individuals within an organization who want to have authority for decision making but who, upon receiving it, do not delegate it to the next level; e.g., a Principal may have authority to select new teachers but may not delegate it to department heads or grade level chairmen, etc. Once a teacher gains authority he may not pass it on to the students. Thus, the question of how far to decentralize or centralize is met again. It makes very little difference to a teacher if decision making has been decentralized to the school unit if he has not gained freedom to make a decision in an area that was verboten before a decentralization decision. Decentralization can progress to the school unit, but not *within* the school unit, or it can progress to the teacher but not to the students, etc. Thus, decentralization may be a reality at one level but a scapegoat and fantasy at another level within the same school district.

Middle management of schools should be as concerned with transmitting, placing responsibility and planning for accountability of authority within their schools as they are in having authority, responsibility and accountability placed with the Principal position.

Dimensions of Decentralization - Centralization Patterns. There are two continuum dimensions to be considered in the Decentralization-Centralization pattern as follows:

Decentralization ⟷ Centralization

Mandatory ⟷ Optional

These continuums can be placed in a simple model as follows:

Plan for Making and Carrying Out Decisions

Degree of Implementation of the Plan

	Decentralized	Centralized
Mandatory		
Optional		

Examples of Decentralization-Centralization Decisions and Plans. Three examples illustrating degrees of implementing decentralization-centralization decisions follow:

1. *Establishing Formulas for School Supply Item Budget*

Highly Centralized:	District office staff makes recommendations for district without consulting staff and a single district line item is established without breaking down to individual school budgets.
Moderately Centralized:	District office staff makes a district supply formula recommendation after receiving comments from principals.
Moderately Decentralized:	District office accepts recommendations of principals as part of overall resource allocation and makes uniform allocations for all schools at a level.
Highly Decentralized:	District office accepts recommendations of principals for each school, and thus each school has a different formula for allocation for supply items.

2. *Making Decision on Use of School Supply Budget*

Highly Centralized:	District office makes decision and automatically distributes items on a per pupil basis.
Moderately Decentralized:	School makes recommendations for standard list and then must choose from it with 10 per cent of total allocated to be spent on other non-standard items or non-stocked items.
Highly Decentralized:	There is no standard list, and thus, schools may describe anything they want without budget limitations.

3. *Purchasing Items - Decision Made as to Name and Quantity*

Highly Centralized:	District office provides all purchasing effort, unit has no choice as to brand or cost.
Moderately Centralized:	District office provides purchasing services mandatory for item of $100 or more, permissive for items of

	$99.99 or less, and allows initiator's specific brand and criteria to be used if not in conflict with district criteria and specifications.
Moderately Decentralized:	District office provides purchasing service only on request.
Highly Decentralized:	Each operating unit has its own purchasing function.

Necessary Centralization for Successful Decentralization. As contrary as it may seem, it is absolutely essential to centralize some aspects of a district's operations for successful decentralization of the operating unit. The most important aspect is to centralize the major goals, objectives, criteria and criterion measures used to assess the outcome. This also necessitates a strong information system that can keep board and central office staff adequately informed to complete their responsibilities. Only with a strong information, reporting and assessment system can a large school district successfully plan, implement and maintain a decentralized system of responsibility and accountability.

SUMMARY

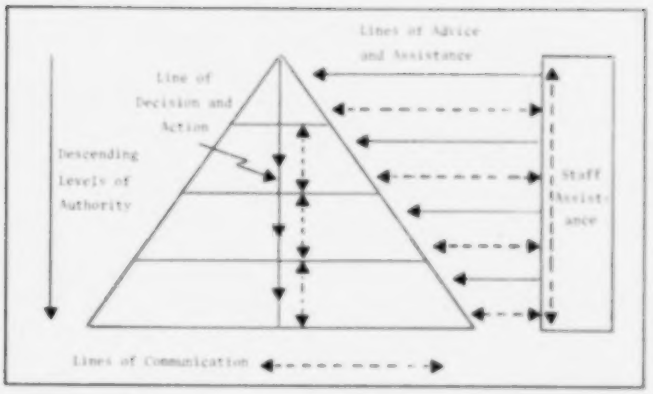
There are many facets to Decentralization-Centralization management concepts. It is suggested that successful decentralization of authority should be carefully determined and then supported with appropriate accountability information and support systems. Decentralization cannot be expected to work by stating, "Let's stand by and see if it will work" but rather it must be carefully planned to work.

The appropriate and successful decentralization-centralization management patterns for the Newport-Mesa Unified School District will come about only as a result of a developed implemented, evaluated and ongoing revision plan systematically undertaken.

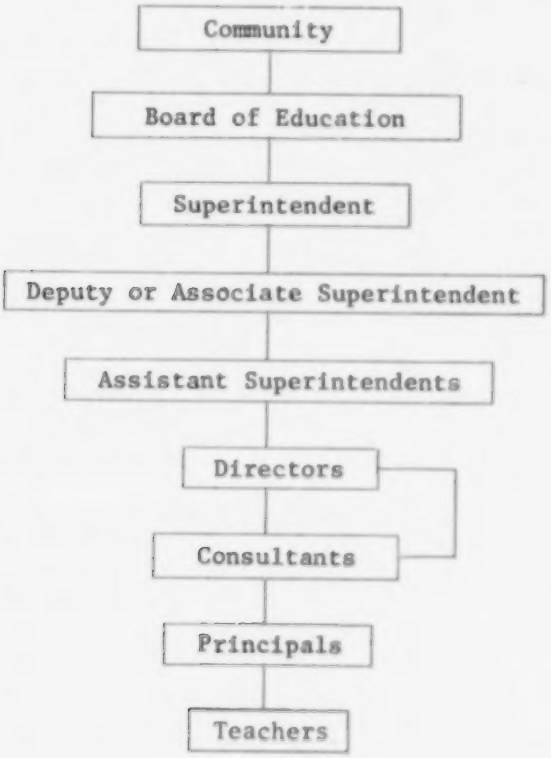
INSTITUTIONAL ORGANIZATION

Typical school organization in the past and still most prevalent, based upon the 1969 research of the Educational Research Service of AASA and NEA, is the centralized structure which is defined "to mean that the source of most administrative decisions and actions was the central office."[16] This type of organization is also referred to as the "pyramid organization" or "line and staff" type of organization.[17] Decisions are made at the top, and passed on down the chain of command to be implemented. Consultation and advice may be sought by those at the top but the key communication structure is central office to local school units.

Pyramidal Model of Organization Structure



This centralized structure is commonly translated to organization charts with a multitude of layers of personnel. Usually, the larger the institution the larger the numbers of layers in the hierarchy.



REORGANIZATION TO FACILITATE DECISION MAKING

Some districts, however, are realizing to become more functional it is necessary to divide the organization of the school district into smaller components, areas or zones, and to delegate more authority and responsibility for decision making. Examples of this are cited in reports on Ocean View[18] and Cupertino[19] school districts. (See Figures 1 and 2)

ROLE OF AREA DIRECTOR

There are, of course, variations between school districts in the roles of Area or Zone Directors. Generally, however, they are responsible for leadership and supervision for a cluster or group of schools. As noted on the organization charts of Ocean View and Cupertino, these clusters or groups of schools usually are centered around the highest level of school in the district (high school in unified, and intermediate or middle school in elementary districts) and are comprised of its "feeder" schools. Dr. Zeyen of Norwalk-La Mirada cites the role of the Area Director as follows:

> "The prime function of the Area Director, under the present structure, is to assist the building principal in specifying the expected results of the instructional program and to develop performance objectives that establish a means of evaluating the results.
>
> "The Area Director establishes accountability for the performance of the educators under his supervision. He serves in an advisory capacity to their functions. Constant monitoring is a basic means of assuring that the performance of personnel under his control proceeds according to stated objectives. The monitoring function is supervisory and advisory in nature; to assume control would relieve the building principal of his responsibility and accountability.
>
> "The Area Director uses both normative and empirical evidence in determining the quality of performance. He takes an active part in the definition of specific outcomes and their evaluation."[20]

Dr. Hall, former superintendent of Ocean View and now Associate Superintendent of Public Instruction and Chief of Division of Instruction, California State Department of Education, outlined the duties of Zone Directors (Director of Curriculum Planning and Development) as follows:

> "The specific duties and responsibilities--more importantly, the specific definition of role--of the DCPD will be refined through dialogue with principals, those selected to fill these positions, members of the teaching staff, and the superintendent's cabinet. That role definition will include the following duties and responsibilities for the DCPD:
>
> 1. To assist each school in the zone in the selection, development and administration of needs assessment surveys.

STATE BOARD OF EDUCATION - PEOPLE - LEGISLATURE - COUNTY DEPARTMENT OF EDUCATION

BOARD OF TRUSTEES

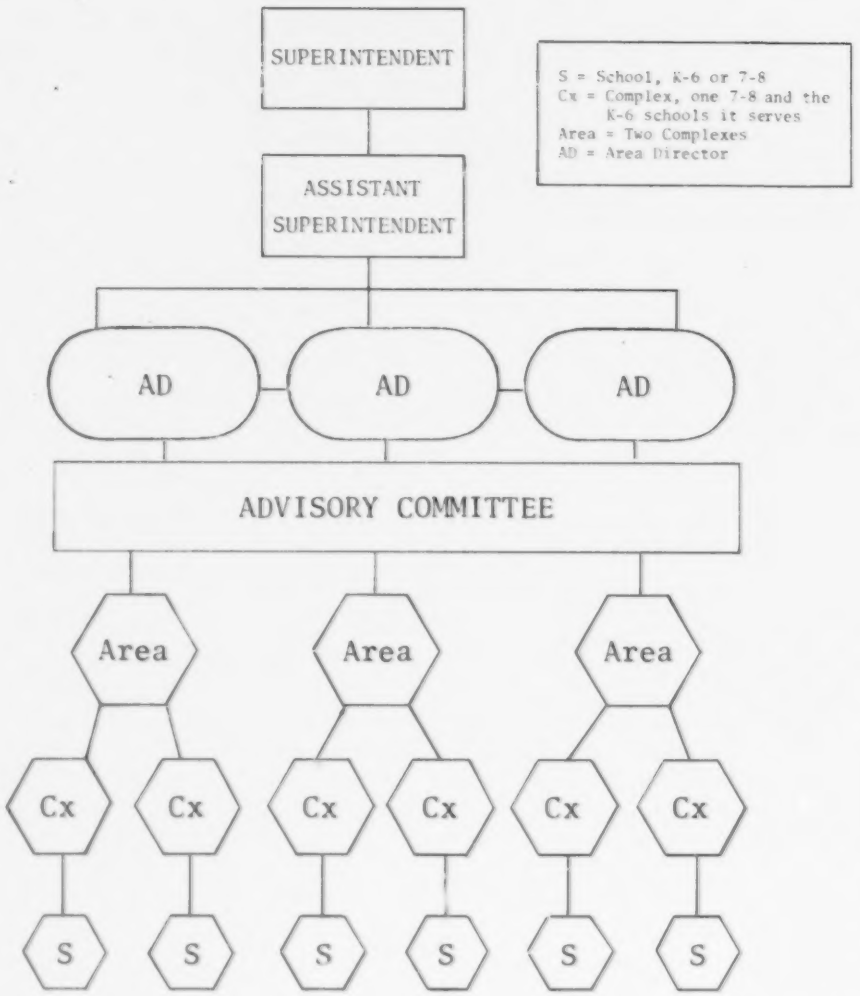
SUPERINTENDENT OF SCHOOLS

Assistant Superintendent Educational Services	Director of Pupil Personnel	South Zone DCPD*	East Zone DCPD*	North Zone DCPD*	Assistant Superintendent Business	Assistant Superintendent Personnel
Curriculum & Instruction Personnel	Pupil Personnel Staff	PRINCIPALS: Mesa View, Hope View, Golden View, Meadow View, Lark View, Marine View, Haven View, Harbour View	PRINCIPALS: Crest View, Lake View, Rancho View, Oak View, Pleasant View, Vista View, Star View, Westmont	PRINCIPALS: Robinwood, Village View, College View, Spring View, Sun View, Park View, Glen View, Circle View	Admin. Asst. Supv. Transp. Dir.Maint. Oper. Bus. Office Supv.	ADMIN. ASST. PERSONNEL
		TEACHERS	TEACHERS	TEACHERS	Business Division Services Personnel	Personnel Office Staff
		Aides, Interns, Etc.	Aides, Interns, Etc.	Aides, Interns, Etc.		

*DCPD =
Director of Curriculum
Planning & Development

Ocean View School District
Clarence Hall, Superintendent

OPERATIONAL MANAGEMENT STRUCTURE BETWEEN AREAS



Where the Identifying Model indicates joint management functions beyond the Area Level, the Advisory Committee serves as the management action group.

The Advisory Committee consists of the chairman of each Complex and the Area Directors.

2. To assist the staff in the development of educational plans designed to satisfy the highest priority needs identified by the Needs Assessment Survey.

* To assist each principal in the definition of the goals and objectives required now by the superintendent.

* To serve as mediator in arriving at objectives that are consistent with district goals and objectives and that are mutually acceptable to the school and to the district.

3. To gather, compile, analyze and disseminate information pertinent to the development of programs.

4. To assist each principal in the preparation of operational budgets that assure the most effective and efficient use of available resources.

5. To assist each school in the acquisition of the human and material resources necessary to the success of developing programs

* To serve as the agent of the schools in the zone in the acquisition of services and resources necessary to program success from within the district

* To assist in the procurement of outside resources from the community, state and nation, including assistance with the development and writing of project proposals where appropriate.

6. To facilitate and to coordinate communication between schools within the zone, between zones, and between the schools in the zone and those in neighboring school districts.

7. To assist in the development of systems of assessment of adopted plans and programs

* To assist with analysis and communication of these evaluations to the staff and to the superintendent and board.

8. In addition to the responsibilities at the zone level, the DCPD will have responsibilities at the district level as a member of the superintendent's cabinet, as a member of the long-range planning and development council, will serve as district representative to local, state and national curriculum and instruction associations, and will assume such other duties as might be prescribed by the Superintendent of Schools."[21]

In many instances the establishment of area or zone directors has not added more administrators but rather has caused a shift of personnel from the central office to the areas or zones -- closer to the action!

In some instances, like Ocean View, Dr. Hall reported:

> "Concurrent with the shift of decision making downward, auxiliary personnel traditionally housed at the district office have been relocated at the building level. Music teachers, psychologists and psychometrists, nurses, speech specialists, Spanish teachers, and the LAT's are now assigned to specific buildings. This change significantly moves our cadre of specialists onto the faculty of the school, as opposed to their being considered a part of the district office staff. Our preliminary evaluations suggest that children and teachers are better served by this decentralization of auxiliary personnel. It should be noted that this set of decisions placed sixty-two (62) people into faculty positions at the building--not the district level."[22]

Another example of the role of the Area Director and his goals and objectives is reported by Corey,[23] in Cupertino:

"AREA DIRECTORS

PURPOSES

Area Directors are expected to support the Cupertino Union School District in its commitment to (1) providing an exemplary educational program for the pupils and citizens of the school district, and (2) continuing and improving the district's position as a nationally recognized leader in education.

GOALS AND OBJECTIVES

Goal 1. Educational programs in each of the district areas will be successfully managed.

Objective 1.1. Upon completion of the first semester of the 1971-72 school year, operational management structures will have been established by Area Directors for work within areas and between areas, as verified by presentation of an acceptable plan to the Superintendent of Schools.

Objective 1.2. Upon completion of the first semester of the 1971-72 school year, a resource allocation plan will be available which provides resource decision making power at the local unit level at an increased rate or degree in comparison to the prior school year. The plan will be subject to approval by the Superintendent of Schools.

Objective 1.3. Upon completion of the districtwide needs assessment, Area Directors will evaluate and interpret the resultant data, translating implications for their assigned school and areas into short range goals, long range goals and action plans, submitting a written report and plan to the Assistant Superintendent for Instruction by March 30, 1972 (or 30 days after receiving the completed report).

Objective 1.4. Upon completion of the establishment of short and long range goals, Area Directors will establish educational program objectives for assigned schools and areas, and submit a written report and plan to the Assistant Superintendent for Instruction by May 30, 1972 (or 60 days after receiving the completed report). Educational program objectives for year 1 will reflect an analysis of available needs assessment data and priority needs establishment based upon the analysis.

Objective 1.5. Upon completion of the establishment of educational program objectives for assigned schools and areas, Area Directors will develop an action plan for further defining goals and program objectives to the level of instructional objectives and activities, submitting a written report and plan to the Assistant Superintendent for Instruction by June 30, 1972 (or 90 days after receiving the completed report).

Objective 1.6. Upon completion of the 1971-72 school year, a review procedure for evaluating progress and validating or re-establishing priorities and objectives for assigned schools and areas will have been developed by the Area Directors and approved by the Superintendent of Schools.

Goal 2. Curriculum and instruction programs will be successfully managed.

Objective 2.1. Upon completion of the 1971-72 school year Area Directors will have verified the status of operational personalized instructional programs as characterized by continuous progress curriculum organization and other provision for individual differences in each school. A report of the status of and growth plans regarding instructional organization for schools in each area will be due to the Assistant Superintendent for Instruction on June 30, 1972.

Objective 2.2. Area Directors will provide appropriate leadership services in their assigned curriculum and instruction areas relative to successful continuation of instructional programs as evidenced by communication, initiation and coordination activities reflecting district, state and national goals.

Goal 3. Area-wide and district-wide projects will be managed successfully.

Objective 3.1. Upon completion of the school year, Area Directors will have managed as assigned, projects requisite to the successful operation of the educational and institutional purposes of the Cupertino Union School District to the satisfaction of the Assistant Superintendent of Instruction.

Goal 4. School-based administrators will be evaluated annually.

Objective 4.1. Upon completion of each school year, Area Directors will have evaluated or have caused to be evaluated, principals and vice principals, as evidenced by completed and signed evaluation forms filed with the Personnel Office by June 15 of each calendar year.

ALTERNATIVE REORGANIZATION FOR DECENTRALIZATION

Other districts, like Fremont and Santa Clara Unified, have established sub-units (areas or zones) but without establishing another layer of administration based upon the concept that *"the organization structure contain the least possible number of management levels and forge the shortest possible chain of command."*[24] The thirty-four schools in Santa Clara are divided into four School Attendance Group Areas (SAGA's) with a chairman elected from the principals within the SAGA. The purpose of these SAGA's is described by Hoffner and Thayer[25] as:

> "Organization of schools into four attendance group areas, each with a high school and its feeder schools. Prime functions of School Attendance Areas (SAGA's) are as follows:
>
> 1. Communication
> 2. Increased Participative Management
> 3. Vertical Articulation, Kindergarten through Twelfth Grade
> 4. Horizontal Articulation Between Schools Within SAGA
> 5. Coordinated and Cooperative In-Service Activities for Staff Development
> 6. Cooperative Programs and Projects, A Sharing of Expertise, Resources, Facilities and Equipment."

CONTRASTING ORGANIZATION

ADVANTAGES AND DISADVANTAGES

Each contrasting form of organization (area director or zone administrator) has possible advantages and disadvantages unless compensating actions are designed into the plan. For instance:

ZONES OR ATTENDANCE GROUPS

Possible Advantages	Possible Disadvantages
Provides a smaller unit than entire district, facilitates meetings and solving of more common problems.	May create need for more communication and coordination between zones.
School in zone grouped by highest level of school in district with feeder schools can improve vertical articulation.	Zones may differ in size or number of schools, some schools may need to feed several intermediate or high schools due to facility or other problems.
Zone director can make decisions faster and more localized.	Could increase problems of horizontal communication and cooperation among levels.
	This additional layer of administration could further bureaucrize the institution.

Possible Advantages	Possible Disadvantages
Zone director with fewer personnel to supervise can better monitor and evaluate effectiveness of operations and personnel.	May create unhealthy competition between zones.
Could increase groups of schools working together on cooperative projects.	Could increase diversification of programs in schools in district.
Could improve participation in the decision making process.	Could increase problems of horizontal communication between zones.
Can strengthen evaluation of principals if higher echelon is responsible for fewer people.	Without zone or group director, monitoring and evaluation more difficult.
Could allow for more alternatives or diversification within system.	Could increase the problems of common implementation of district goals and programs.

EDUCATIONAL ACCOUNTABILITY: WHO FOR WHOM?

Throughout this monograph we have been discussing alternatives for decentralization and participative management without ever really discussing who makes what decisions. Obviously this is a matter that must be resolved locally. What one district is willing or able to do at any one point in time will vary greatly, dependent upon commitment to the concepts and a variety of circumstances. Tye[26], however, presents an excellent overview of the differing roles of the board (policy makers), the professional-technical staff, the principal and teachers.

> "If the teacher is to be accountable for his own behavior, he must understand himself in his instructional setting and be able to view his teaching behavior objectively. In general, such understanding is built through interaction with others. Teachers should plan, teach and evaluate together. Teachers working together is discussed in depth by Robert H. Anderson in TEACHING IN WORLD OF CHANGE. For this they need time. . .
>
> "Teachers are responsible and accountable for all instructional decisions. This includes those things which fall under their 'span of control:' (1) a sense of direction (objectives); (2) management of self in the instructional setting; (3) an understanding of the students with whom they work; (4) a knowledge of the content of instruction; and (5) an ability to employ learning resources. Teachers are accountable, insofar as they have the training and resources to make such decisio[illegible].

"How Is Accountability Measured?

"*Policy Decisions.* Education is a state function. The legal responsibility of the State is extended to the local school board which serves as a controlling agency. As such, it is accountable to the sanctioning body which gives it authority.

"The controlling agency is responsible for the formulation of educational policies. Such policies incorporate values held in common by the populace as to both the aims of the educational endeavor (ends) and the ways in which these aims are implemented (means).

"Educational aims are being stated when it is said that the schools should develop the potentialities of all individuals, should develop in individuals the respect for the rights of others, and should develop in individuals skills which will contribute to a productive life. Such statements may not be clear but they serve as a basis for the statement of institutional objectives by the professional-technical staff, as a basis for the design of implementation strategies, as a basis for the allocation of resources within the system, and as a basis for judging educational practices and outcomes.

"Implementation policies set forth by controlling agencies often confuse the matter of accountability. For example, a policy which states that reading will be taught as a skill which contributes to a productive life is legitimate. However, a policy decision which defines 'how' reading is to be taught is clearly inappropriate. . . .

"When school boards make inappropriate policy decisions they are confounding the problem of accountability and they must be ready to assume that accountability which is more logically reserved for others. . .

"*Institutional Decisions.* . . . The formulation of educational objectives is the responsibility of those at the institutional level, the professional-technical staff consisting of the administrators, total faculty groups and appropriate consultants. This formulation is the beginning point in the translation of the educational aims of controlling agencies into practice. The attainment of these objectives on a system-wide basis is that for which administrators are accountable. . . Without such objectives and subsequent evidence of attainment or non-attainment, school systems have no basis for recommending the allocation of resources. . .

"The professional-technical staff is also responsible for the explication of exemplary learning opportunities (means). Such statements suggest the general character of what learners will be called upon to do in seeking to attain educational ends. These are suggestive, rather than prescriptive. One mistake we have made in past decades is to prescribe learning opportunities on a system-wide basis without consideration of the characteristics of individual learners. . .

"The professional-technical staff of the school system is responsible and accountable for the statement of institutional objectives, the allocation of human and financial resources, and the design of procedures for monitoring the accomplishment of objectives. Such a staff should not attempt to make instructional decisions.

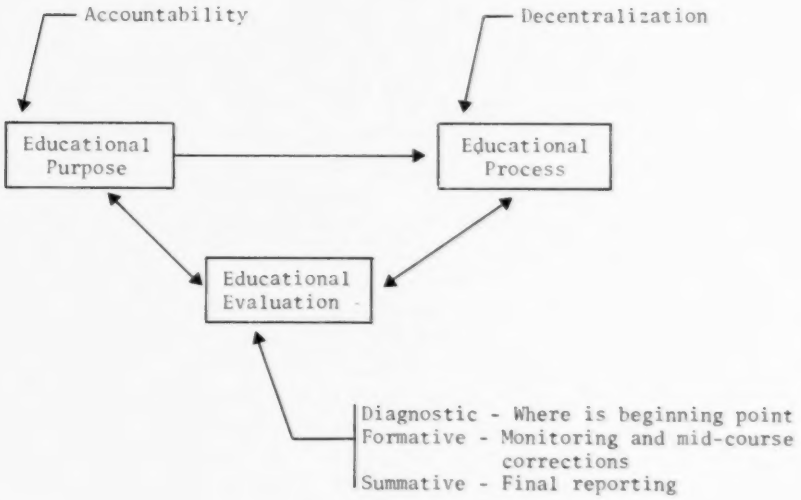
"*Instructional Decisions.* All instructional decisions should be made by teachers. If, for some reason, teachers are not capable of doing this, those at the institutional level must provide them with the necessary in-service training. . . The principal's main task is to adopt planning procedures which insure appropriate instructional decisions. As monitors, they must insist that teachers follow such procedures. As facilitators, they must provide settings wherein teachers can be productively involved in the decision process.

"Teachers can be held accountable for the outcomes of schooling only insofar as they are given the wherewithal to do their jobs. Such a statement . . . *assumes that accountability is a direct outgrowth of the assessment of the degree to which each group carries out these responsibilities and that no group is held accountable for the failings of others.* Finally, it assumes that the role of the teacher can be defined so that his accountability, likewise, is definable."

Educational Purpose -
What a student is to learn - outcomes

Educational Process -
How students and staff will achieve

Educational Evaluation -
How we tell what is needed - diagnostic
How we monitor - formative
How we report how well achieved - summative



Accountability of Purpose - Community and Board
Decentralization of Process - Board, Staff and Students
Educational Evaluation - Students and Staff to Board and Community

WHO PARTICIPATES IN WHICH DECISION?

Current Problems →																
WHO	Ideal (How We'd Like It)		Current Status (What Is)		Ideal (How We'd Like It)		Current Status (What Is)		Ideal (How We'd Like It)		Current Status (What Is)		Ideal (How We'd Like It)		Current Status (What Is)	
Staff	IP	AP	IP	AP	IP	AP	IP	AP	IP	AP	IP	AP	IP	AP	IP	AP
Administrative																
Site																
Central Office																
Teachers																
All																
Representative																
Appointed																
Aides																
All																
Representative																
Selected																
Clerical																
Maintenance																
Students																
All																
Representative																
Appointed																
Community																
Broad																
Representative																
Appointed																

IP=Input Processes AP=Approved Procedure

Personnel in Fullerton have developed the form in Figure 3 that assists them in determining who makes what decision.

Dr. Van Deren,[27] Superintendent, Soquel School District, indicated that accountability requires an individual to have the *authority* to act and to make decisions in those areas in which he is held accountable. The question to be answered is, "Who should have what level of authority to make what decision? -- That is, what are the operational boundaries of each person's authority?"

Examples of varying levels of authority are:

* Has complete autonomy to make a decision
* May make a decision, but must inform someone
* May make a decision, but must consult someone
* Has authority to act only with prior approval of someone
* Has authority to ratify action of others
* Has no authority
* Has the power to influence the decisions of others

The topic of which decisions are made by whom is also discussed throughout this monograph.

PUT YOUR MONEY WHERE YOUR PHILOSOPHY IS

To decentralize decision making down to a lower level without giving personnel expected to make decisions greater control over allocation of resources is both contradictory and self-defeating!

RESOURCE ALLOCATION OR PERSONNEL UNIT

An Example of a means to decentralize the financial resources in Escondido Elementary School District from the district to school level is described by Slezak and Hollins.[28]

THE PERSONNEL UNIT CONCEPT

Some educators have the urge to add new resources before making an assessment of the possibilities of accomplishing the desired outcomes with the resources at hand. The personnel unit is an administrative technique for allocating those financial resources previously used in employing classroom teachers. Each principal is allocated a specific number of personnel units in accordance with existing student enrollment. Each personnel unit is equivalent to $10,000/year, which is equal to the average teacher's salary throughout the district. In addition to this allocation, each school is assigned other personnel - a principal, supplementary certificated personnel, and classified personnel - on the same basis as for the preceding several years.

An amount of money equal to the salary of a classified position may be used by the principal for other purposes if the position is eliminated. Also, if a school's enrollment increases during the first six months of the school year, every three students qualify the school for an additional one-tenth of a personnel unit, or $1,000. Personnel unit funds can be spent under the direction of the principal and with the superintendent's approval in a variety of ways designed to enhance the educational program.

Van Deren[29] describes the program calendar for implementation of the personnel unit in Soquel in Figure 4.

> *The organization of time, personnel, and resources are more bound by tradition than inspired by mission. But the winds of inspiration are blowing ever more strongly.*
>
> Dr. John I. Goodlad
> Planning and Organizing for Teaching

ALLOCATION UNIT IN UNIFIED DISTRICTS

In the unified districts the concept of the personnel or allocation unit varies somewhat due to differences in elementary and high school programs.

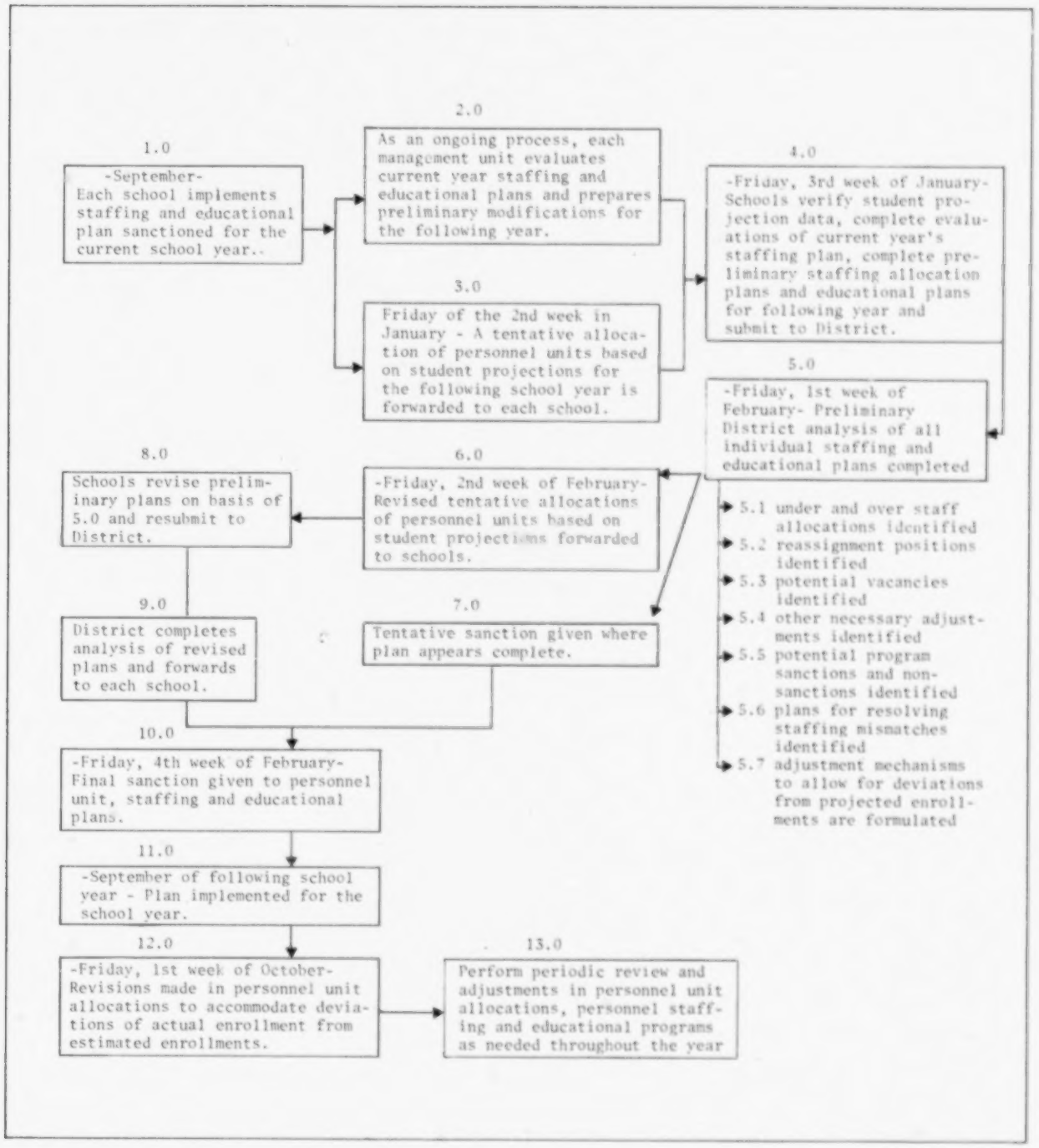
> *You are an Intermediate School Principal and you have $570,000, a building with its equipment and a secretary - What to do???*

Hoffner and Thayer give a synopsis of the system Santa Clara Unified utilizes[30] as follows:

Adoption of a Resource Allocation Formula to decentralize control of school budgets to school principals. To be more autonomous and more accountable to the school community, the principal and staff must have greater control over the resources of the school than in the past. Consequently, the Resource Allocation Formula was devised by the Fiscal Planning Committee.

1. The 1972-73 allocation allowance is:

   Elementary Level . . . $503.92 per ADA
   Intermediate Level . . $707.61 per ADA
   High School Level. . . $740.11 per ADA


1.0
-September-
Each school implements staffing and educational plan sanctioned for the current school year..
2.0
As an ongoing process, each management unit evaluates current year staffing and educational plans and prepares preliminary modifications for the following year.
3.0
Friday of the 2nd week in January - A tentative allocation of personnel units based on student projections for the following school year is forwarded to each school.
4.0
-Friday, 3rd week of January- Schools verify student projection data, complete evaluations of current year's staffing plan, complete preliminary staffing allocation plans and educational plans for following year and submit to District.
5.0
-Friday, 1st week of February- Preliminary District analysis of all individual staffing and educational plans completed
5.1 under and over staff allocations identified
5.2 reassignment positions identified
5.3 potential vacancies identified
5.4 other necessary adjustments identified
5.5 potential program sanctions and non-sanctions identified
5.6 plans for resolving staffing mismatches identified
5.7 adjustment mechanisms to allow for deviations from projected enrollments are formulated
6.0
-Friday, 2nd week of February- Revised tentative allocations of personnel units based on student projections forwarded to schools.
7.0
Tentative sanction given where plan appears complete.
8.0
Schools revise preliminary plans on basis of 5.0 and resubmit to District.
9.0
District completes analysis of revised plans and forwards to each school.
10.0
-Friday, 4th week of February- Final sanction given to personnel unit, staffing and educational plans.
11.0
-September of following school year - Plan implemented for the school year.
12.0
-Friday, 1st week of October- Revisions made in personnel unit allocations to accommodate deviations of actual enrollment from estimated enrollments.
13.0
Perform periodic review and adjustments in personnel unit allocations, personnel staffing and educational programs as needed throughout the year

2. A special equipment replacement allowance is also provided.

3. Special allowances are also made for unusual grade distribution or other special circumstances.

4. In addition to the above allowance, the district provides the building, equipment, principal, secretary, utilities, and building and grounds maintenance.

5. This dollar allocation system gives the *principal control over funds* to purchase:

   * Certificated Personnel (purchased at a standardized salary cost)
   * Classified Personnel (purchased at a standardized salary cost)
   * Supplies and Services
   * Instructional equipment repair and replacement
   * Non-instructional equipment (not a part of physical school plans) repair and replacement
   * Educational field trips
   * Capital outlay

6. For example, an intermediate school principal would receive:

   * His building and equipment
   * His salary
   * Salary of his secretary
   * Utilities
   * Building and groups maintenance
   * Estimated ADA 799 x $707.61 basic allocation allowance = $565,380.39
   * Equipment allowance = $3,145.00

   From this total amount of $568,525.39, the principal must purchase the items listed in 5 above, that will best meet the needs of his school community and achieve the goals and objectives of the school educational plan.

7. Accountability is built into the organizational structure through the utilization of management by objectives.

   * All elementary, intermediate, and high schools plus divisions and departments of the Central Office develop goals, objectives, a plan of action, and evaluative criteria for their operation.
   * These plans for on-going programs are recorded on forms entitled "Program Description, Goals and Objectives." The following information is recorded on these forms:

     - Goals Statements
     - Objectives Statement and Evaluative Criteria

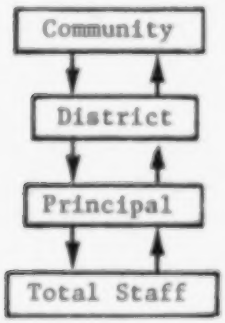
- Program Description
- Program Title
- Direct Cost Analysis of Programs by ADA
- The Cost Analysis is broken into thirteen sub-categories as appropriate.

8. Monitoring and evaluating the operation of the system is achieved through the following cycle described in "The Handbook of Budget Preparation." (See Figure 5)

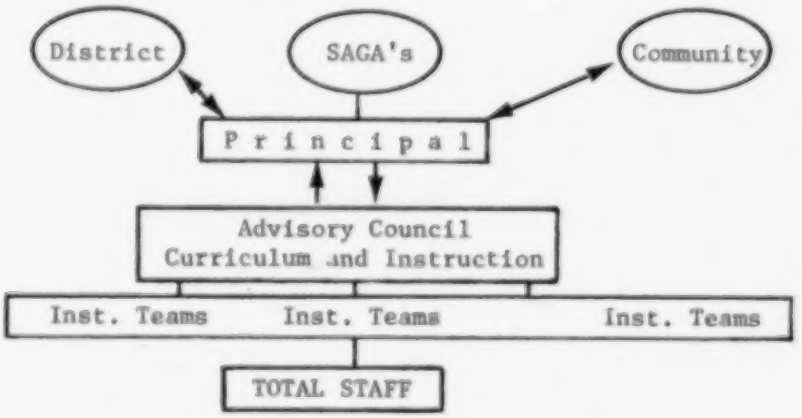
DECISION MAKING AT THE SCHOOL LEVEL

To enable staff at the school level to participate in making operational decisions and in proposing new programs, there are two basic vehicles. One: The Educational Policies and Planning Committee, discussed elsewhere in this report, has been established to provide staff participation in suggesting new pilot programs; and secondly, . . school administrators may seriously want to investigate the establishment of an organization pattern similar to the following:

Typical Old Organization



New Organization



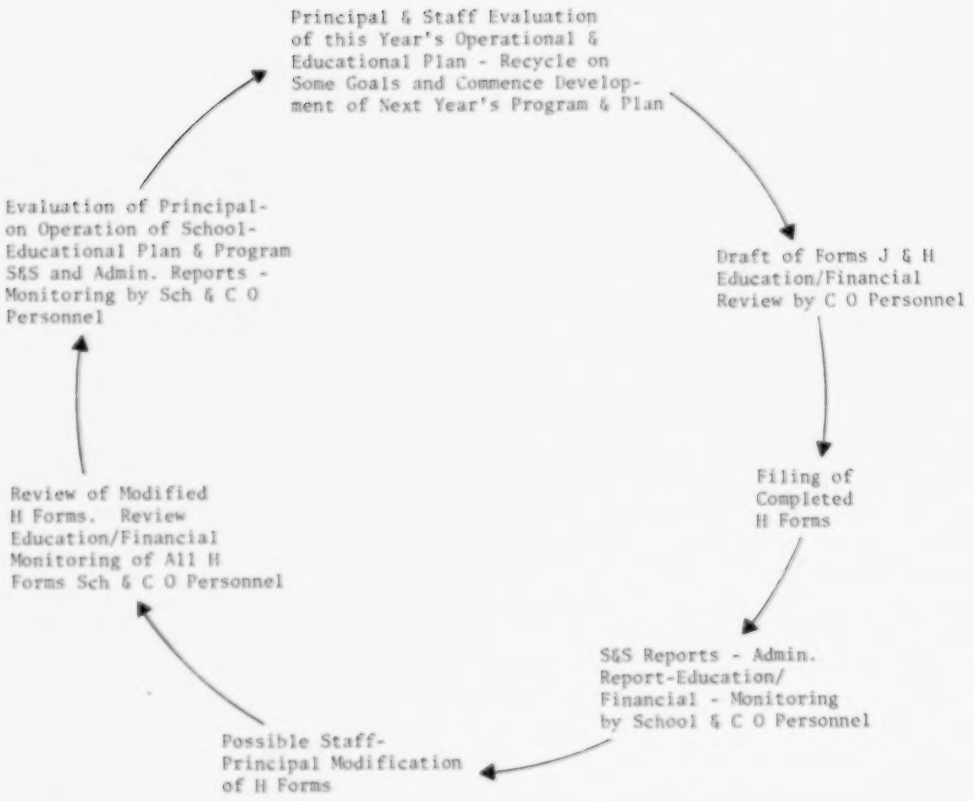
With today's problems and the need for participative management it is no longer possible for all decisions to be made only by the principal. Neither is it efficient or practical to have all decisions made by the total staff.

The Advisory Council will consist of principal, team or grade level leaders or department chairman and others as deemed appropriate.

SANTA CLARA UNIFIED SCHOOL DISTRICT

PLANNING, PROGRAMMING, BUDGETING CYCLE

SCHOOL LEVEL


Principal & Staff Evaluation of this Year's Operational & Educational Plan - Recycle on Some Goals and Commence Development of Next Year's Program & Plan
Draft of Forms J & H Education/Financial Review by C O Personnel
Filing of Completed H Forms
S&S Reports - Admin. Report-Education/ Financial - Monitoring by School & C O Personnel
Possible Staff-Principal Modification of H Forms
Review of Modified H Forms. Review Education/Financial Monitoring of All H Forms Sch & C O Personnel
Evaluation of Principal-on Operation of School-Educational Plan & Program S&S and Admin. Reports - Monitoring by Sch & C O Personnel

LEGEND
S&S - Supplies & Services
C O Pers - Central Office Personnel
Sch Pers - School Personnel

Two important Board functions can be overlaid on this school-cycle diagram. They are:
1. Board adoption of policies and Course of Study
2. Board review and adoption of district budget

9. This structure is similar to the intent of the SAGA's and provides an intermediate input between the top administrator or principal and the total staff. This Council provides functions which are advisory and may recommend the establishment of work or task force committees. It makes recommendations to both the principal and the staff. It provides a streamlined organization for two-way communication.

   Many schools have already established a similar procedure and others are moving in this general direction.

   This Council can also be effective in decentralization of education and fiscal planning.

10 To further the concept of decentralization (of resources) and participative management (those closest to the situation making the decision) the following *example* has been implemented in some form by most of the district's principals:

   SUPPLIES AND SERVICES BUDGET - ELEMENTARY SCHOOL

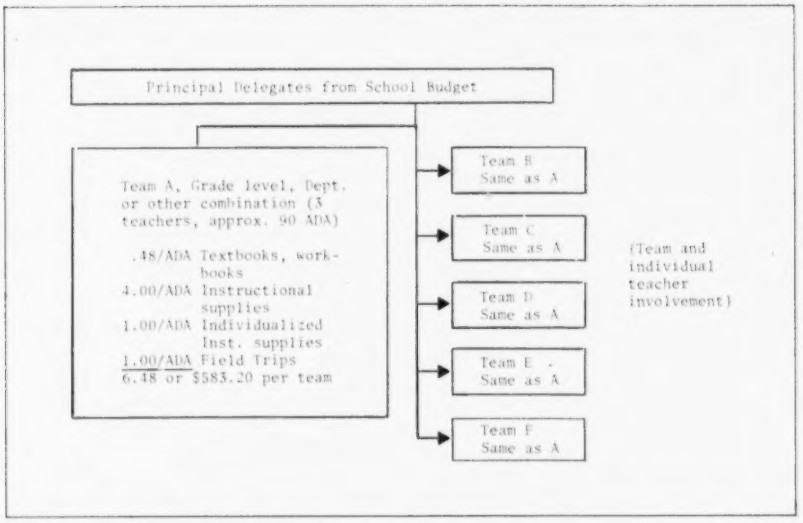
   Take one example: School with 6 teams or departments (approximately 100 ADA per team): 600 x $13.88 = $8,328.00. Principal keeps from school budget:
   (Per ADA)

1.00/ADA	Office Supplies
.20/ADA	Health Services Supplies
1.00/ADA	Custodial Supplies
1.00/ADA	Equipment Replacement
3.20	

   The principal expends in consultation with Curriculum and Advisory Council (staff involvement):

1.00/ADA	Large items needed by all teachers, butcher paper, etc.
1.00/ADA	Library Books, Audio Visual, etc.
1.00/ADA	Emergencies of innovation stimulating materials
.20/ADA	Staff Conferences
1.00/ADA	Replacement of equipment
4.20	

   To implement and administer the concepts of the Resource Allocation Unit or decentralized budgeting procedures, Santa Clara Unified suggests to its principals in its Operational Handbook, utilization of some modification of the following model:[31]


Principal Delegates from School Budget
Team A, Grade level, Dept. or other combination (5 teachers, approx. 90 ADA)
.48/ADA Textbooks, workbooks
4.00/ADA Instructional supplies
1.00/ADA Individualized Inst. supplies
1.00/ADA Field Trips
6.48 or $583.20 per team
Team B Same as A
Team C Same as A
Team D Same as A
Team E Same as A
Team F Same as A
(Team and individual teacher involvement)

Individual principals and their staffs would work out the actual ratios - this example was only one sample.

While not utilizing a resource allocation unit, Timber School District also decentralizes its school allocation for supplies, services, funds for individualization and capital outlay right on down to instructional teams. Writing in THRUST, Brick and Sanchis[32] reported, "Money and its use become vital for a school and staff to reach objectives. Following full testing, budgets were established on a program basis for each school with monthly data-processing printouts. The account categories ranged from the Mentally Gifted Program to Curriculum Improvement Workshops. The account classifications for each school have now increased to 48 with teachers, learning coordinators and principals responsible for determining priorities in using these funds."

> *After the first two years of this program (personnel unit allocation) in Escondido, we are firmly convinced that the district taxpayer is receiving increased productivity with the same number of tax dollars.*[28]
>
> Slezak and Hollins

RESOURCE OR PERSONNEL UNIT CAN FACILITATE DIFFERENTIATED STAFFING

An example of diverse utilization of the personnel unit is described by Hall, et al.[33] in THRUST, as follows:

"*Creative Staffing:* The (Ocean View School) District has developed a method of human resource allocation called Full Time Equivalent (FTE).

"This basically simple scheme is to allot schools one average teacher's salary for each 28 students. It has developed into a very flexible and sophisticated range of staffing patterns found among the 24 schools. An example might be:

"A team of four teachers starting school with 112 children (4 x 28). During the first month one of them experiences a growth of four children and the other two gain five children each. We now have a team of four with 131 children. At 112 children we were on a break-even basis since the District funding ration is 28:1; however, they corporately have 14 children over the District funded ratio. Converting this excess to money:

This team has $\frac{14}{28}$ overload (standard class)
x the average teacher's salary FTE
or $\frac{14}{28}$ x $10,000 (average salary)
This team of teachers now has $5,000 (1/2 FTE) to spend on additional staffing.

"Some alternatives for the use of this formula might be:

* A part-time teacher
* High school aide
* College aide
* Classified aides
* University of Southern California Honors Interns

". . . Ocean View School District has available a series of publications concerning orientation and a handbook for coordinator of volunteers. These publications are available through Ocean View District, 7972 Warner Avenue, Huntington Beach, California 92647 . . .

"*Material Resources.* A choice in human resource alternatives is important, but to facilitate decision making, the school must start to exercise some control over material resources. The site administrator and faculty must be provided the latitude to muster economic resources and redistribute them relative to locally-defined priorities. . . .

"*Vandalism Budget.* Initially, control of the vandalism budget was given to the schools. It was agreed that if the amount prorated for each school (based on past experience) was not used, then on May 1st these funds could be converted for other uses such as supplies or equipment. This first step proved feasible. The attitude of the site administrators, faculty and members of the community began to change. Each time a window was broken or a wall defaced, it meant they would not be able to purchase some needed supplies or equipment.

"The very first year the District as a whole netted a 30 per cent savings in vandalism expense. Expenditure allocations such as telephone, substitute teachers and clerical assistance, soon found their

way onto the list of discretionary funds allocated to local school personnel. . . .

"*Administrative Staffing Budget*. Presently there are no full-time vice principals in the District; however, the number of individuals receiving compensation for performing administrative duties has risen from three to more than fifty. Each principal is provided a portion of the administrative support fund with which to purchase material, equipment or services of people to directly help him manage the school more efficiently. . . .

"*Monitoring Decentralized Decision Making*. . . . When each school facility begins to define goals, select alternatives and implement programs, it must be accompanied by a more sophisticated monitoring and evaluation system. A public school district can ill afford to grant license (authority with no accountability) to 24 separate facilities. The traditional resource departments have been redesigned to provide support and evaluation services equal to the needs created by the decisions in the field."

RESOURCES RELATED TO EDUCATIONAL PLAN

There obviously is little or no value in decentralizing the decision making process on the allocation of resources unless there is a sound educational plan developed by the principal and his staff. Frank Elliott[34] has developed a check list for utilization by principals in Fullerton which could be easily adapted to any district.

"Questions you might use as a checklist for tasks relating to your preparation of an Instructional Plan:

SCHOOL PROGRAM OBJECTIVES

Procedures for Writing Objectives

1. Do you have a plan for accomplishing the objective-writing task?
2. Have you included objectives for all program areas?
3. Have objectives been developed cooperatively with your staff?
4. Have junior high departments generated objectives for their areas?
5. Have you written too many objectives?
6. Are your objectives placed in a priority arrangement?

Content of Objectives

7. Are objectives measurable?
8. Can objectives be accomplished in a given time frame?

9. Do you have objectives for the higher cognitive skills? Affective areas?
10. Are program objectives understandable to parents?
11. Do objectives truly represent what you and your staff want accomplished?
12. Are the objectives realistic?

INDIVIDUAL SCHOOL PROGRAM BUDGET

Areas for General Consideration

1. Have you budgeted for all curriculum areas such as music, art, PE, science, etc.?
2. Does your budget truly support your objectives?
3. Are the priorities in your budget related to the priorities in your objectives?
4. Is your budget realistic?
5. If you are a junior high principal, have you consulted with departments concerning budgeted items needed to accomplish their objectives?
6. Have junior high departments placed their individual department budget requests in priority?
7. If you are a junior high principal, have you included all needed items in your administrative support request?
8. Do you have an overall plan for involvement of teachers in the budget-setting process?
9. Have you placed your budget items in a priority order?
10. Have you included the new budget account numbers for requested items?
11. Have you shown a cumulative total by priority for all budgeted items?

Areas for Specific Consideration

12. Have you secured realistic cost estimates on materials and supplies from District Library and/or Business Office (including sales tax and shipping costs)?
13. Have you included any needed remodeling requests?
14. Have you gotten an estimate from the Business Office on any remodeling or carpeting costs?
15. Have you budgeted for teacher aides, and have you checked on the cost of the aides from Personnel Office?
16. Have you budgeted for extra field trips above your District allocation? Have you checked on the cost?
17. Have you budgeted for curriculum development - substitutes, visitations, conferences and

other expenses? Remember curriculum development substitutes are budgeted in the 213.41 account.

18. Have you provided a principal's contingency for supplemental texts, other books, and the 290 accounts?
19. Have you budgeted for achievement tests not supplied by the District as a part of the regular testing program?
20. Have you budgeted for diagnostic tests?
21. Have you budgeted for capital outlay items (instructional and non-instructional equipment and improvement to grounds) needed to support your objectives?
22. If you have special programs such as Developmental Placement, SWRL, etc., have you included these programs in your budget?
23. If your school has an IDEA Program, have you checked with the Coordinator concerning State requirements for this project?
24. Have you built in a cost for District Copy Center reproductions for your school? Have you checked with Business Office on your projected costs?
25. If you have budgeted for Open Court, have you placed books in #230 and other materials in #290?
26. Have you included all Special Education programs (EH, TMR, EMR, LDG, etc.) located in your school in your budget request?

INDIVIDUAL SCHOOL EVALUATION DESIGN

1. Do you have a plan for completing your evaluation design?
2. Have you included the staff in the formation of your evaluation design?
3. Does your evaluation relate to your stated program objectives?
4. Is your evaluation design understandable to parents?
5. Does your evaluation design show a time for accomplishment, the level of accomplishment and the degree to which objectives will be accomplished?
6. Does your evaluation design show the use of subjective questionnaires?
7. Does your design include the costs of standardized tests administered by the District?
8. Have junior high departments designed an evaluation for their objectives?

I hope all of the questions above will help you through the three phases of your *Instructional Plan* development for the 1972-73 school year. Forms relating to each of the above areas will be forwarded to your building at a later date. If you have questions concerning any of the

above, please give me a call.

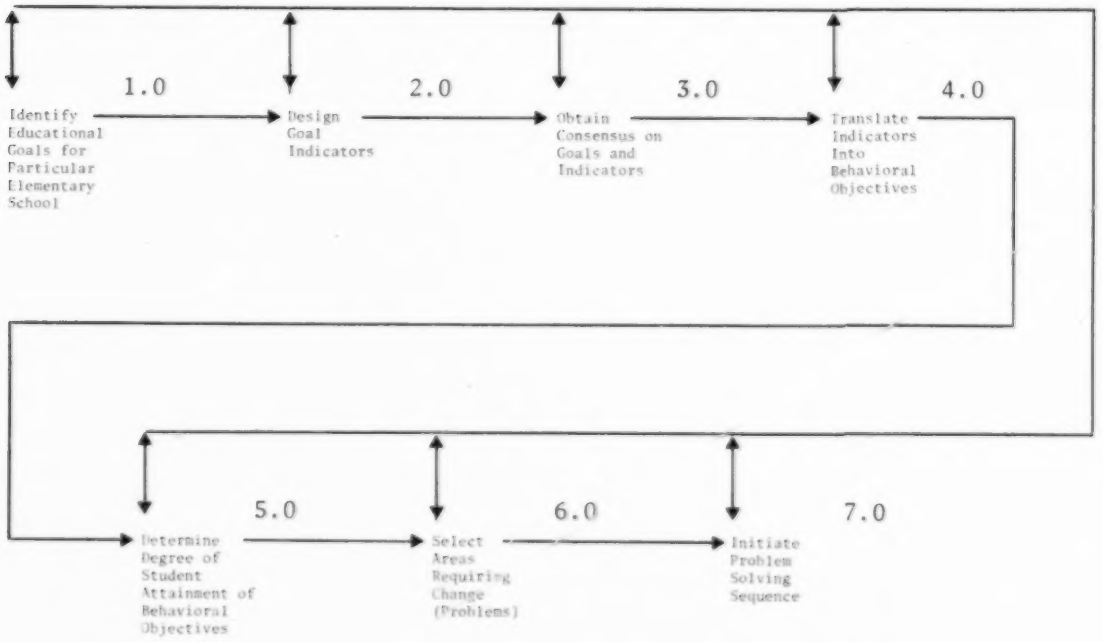
Remember, this is a first time through a *Building Instructional Plan*. Don't try to write a volume; try to be simple and clear in your plan. Try to avoid the use of broad terms that cannot be quantified or measured. Try to tie together your objectives, budget and evaluation. Your *Instructional Plan* will serve as school direction for 1972-73, so construct a document that is usable.

ALLOCATION OF RESOURCES BASED UPON IDENTIFIED NEEDS

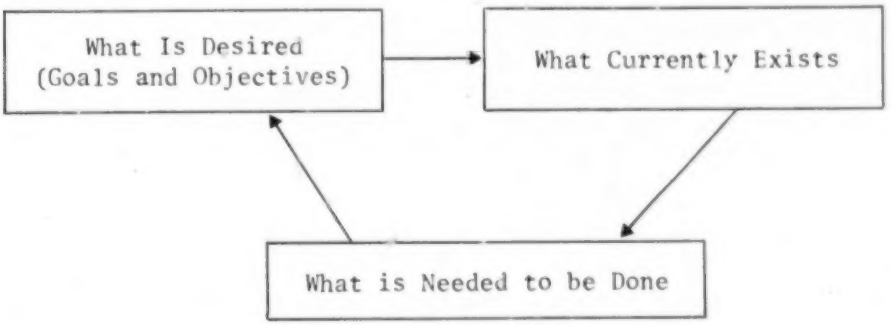
Much has been written in recent months about identification of goals and objectives based upon an assessment of needs. For instance, the December/January 1972 issue of THRUST[35] has five articles on this topic. The May 1972 issue of THRUST also has two excellent articles by Vasconcellos[36] and Hall.[37] The June 1972 issue of CALIFORNIA SCHOOL BOARDS[38] also has excellent practical articles and, of course, the publications of the Joint Legislative Committee on Goals and Evaluation[39] are comprehensive documents on technique and examples.

Beaubier[40] describes the basic elements of a needs assessment component as follows:

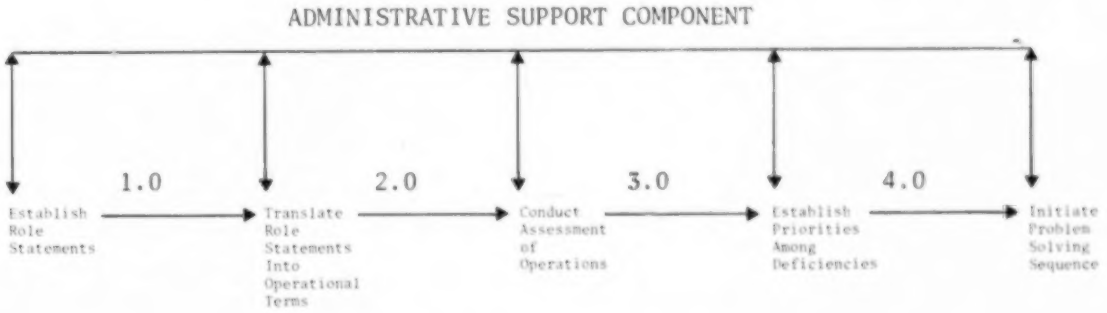
NEEDS ASSESSMENT COMPONENT



After Needs Assessment. Once a needs assessment has been conducted, the obvious fact is to establish a Philosophy, Goals and Objectives. Far too often, however, this is looked upon by some educators as the end rather than the means for new decision making. Administrators frequently believe that once the needs assessment is completed the work is finished. However, the task is not completed with implementation of a needs assessment; like the popular song, "It Has Only Just Begun." After the philosophy, goals and objectives are developed at appropriate levels, problem solving techniques must be instituted in order to establish priorities and allocate resources. Simply put:

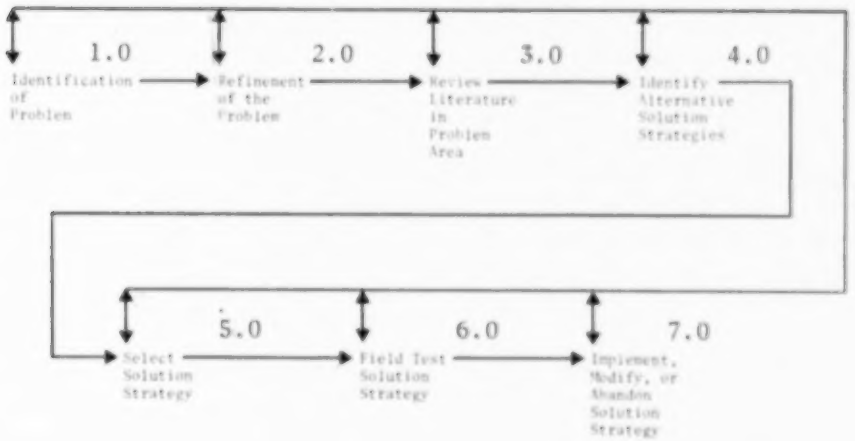


A more sophisticated model describing the role of the administrator and staff in this process is outlined by Beaubier[41]



and outlined in even more detail in the article by Infelise.[42] The allocation of resources based upon identified priorities requires the initiation of a problem solving technique. This component is outlined by Beaubier.[43]

PROBLEM SOLVING COMPONENT



Mattas[44] goes into more detail, and Hall and staff[45] describe another variation in the December/January 1972 issue of THRUST.

A systems model of problem solving outlined in the manual on PPBS[46] is as follows:

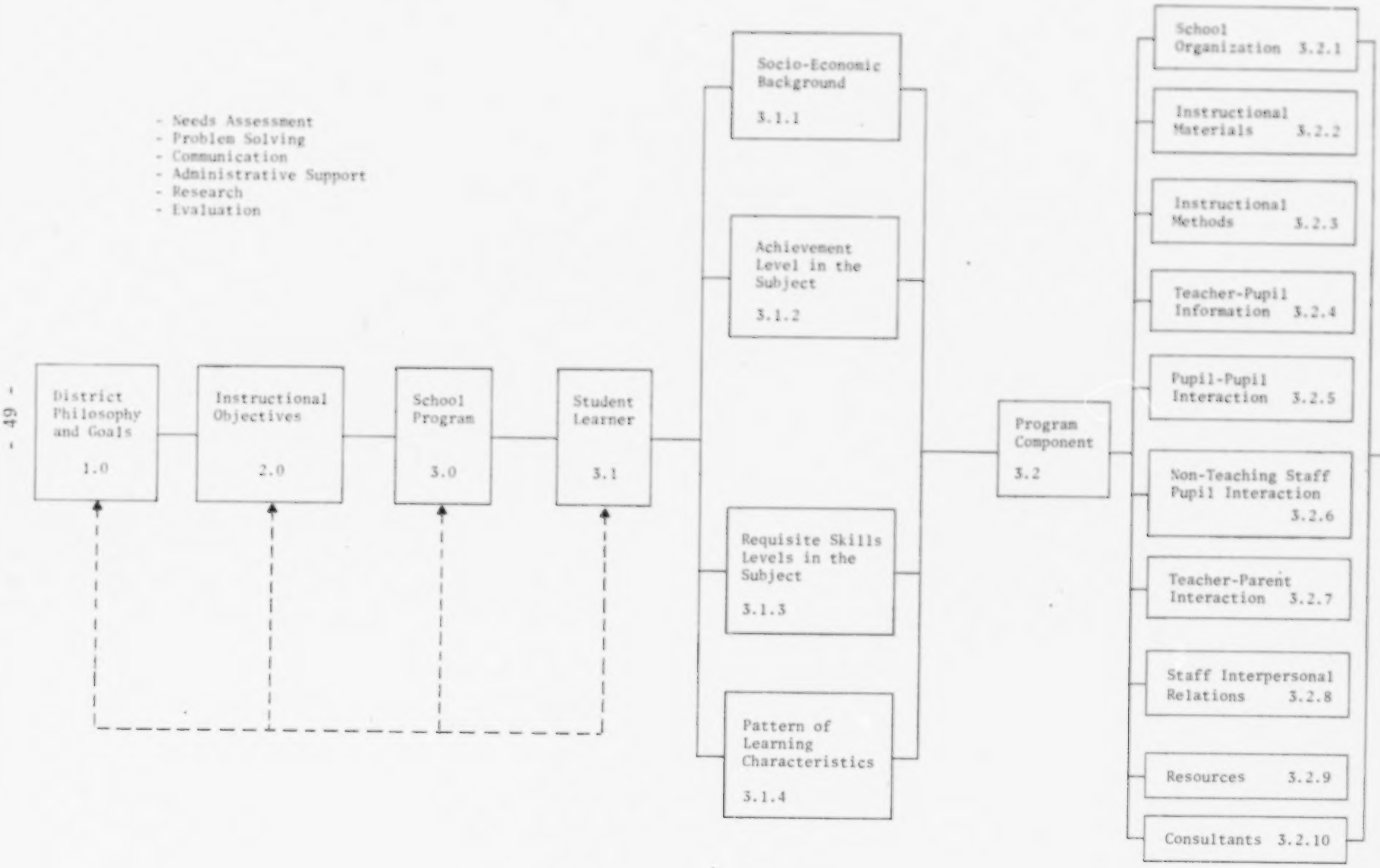
SYSTEM ANALYSIS PROCESS

Obviously, which of a variety of problem solving techniques an individual or staff selects is not as important as the fact that:

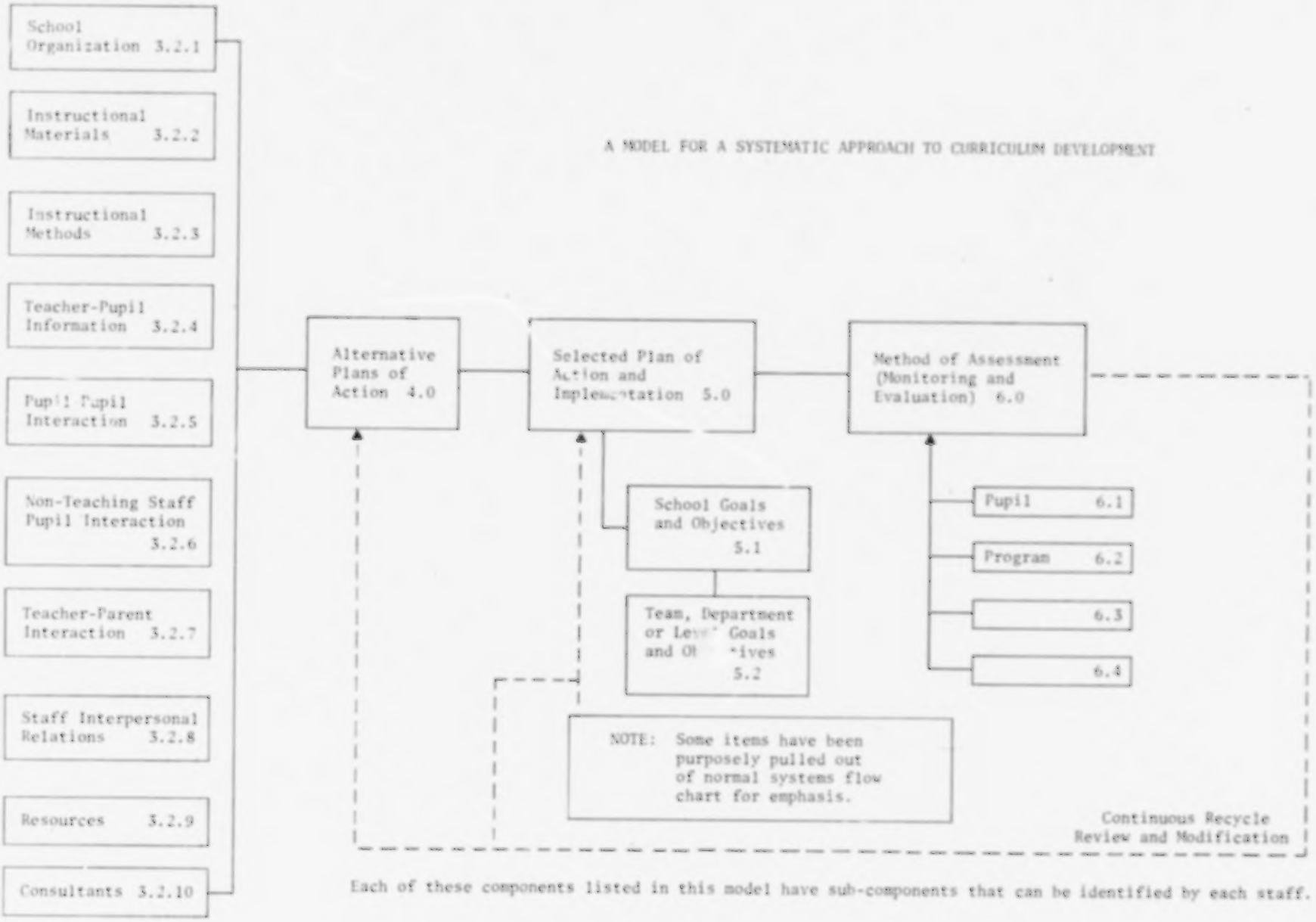
* The right people are involved
* There is a systematic method of problem solving
* The right problems are being solved
* The process provides for monitoring and re-cycling

APPLICATION TO CURRICULUM MODEL

One model that would encompass this systematic approach to curriculum development is described as follows:


- Needs Assessment
- Problem Solving
- Communication
- Administrative Support
- Research
- Evaluation
District Philosophy and Goals 1.0
Instructional Objectives 2.0
School Program 3.0
Student Learner 3.1
Socio-Economic Background 3.1.1
Achievement Level in the Subject 3.1.2
Requisite Skills Levels in the Subject 3.1.3
Pattern of Learning Characteristics 3.1.4
Program Component 3.2
School Organization 3.2.1
Instructional Materials 3.2.2
Instructional Methods 3.2.3
Teacher-Pupil Information 3.2.4
Pupil-Pupil Interaction 3.2.5
Non-Teaching Staff Pupil Interaction 3.2.6
Teacher-Parent Interaction 3.2.7
Staff Interpersonal Relations 3.2.8
Resources 3.2.9
Consultants 3.2.10

A MODEL FOR A SYSTEMATIC APPROACH TO CURRICULUM DEVELOPMENT


School Organization 3.2.1
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Staff Interpersonal Relations 3.2.8
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Consultants 3.2.10
Alternative Plans of Action 4.0
Selected Plan of Action and Implementation 5.0
Method of Assessment (Monitoring and Evaluation) 6.0
School Goals and Objectives 5.1
Team, Department or Level Goals and Objectives 5.2
Pupil 6.1
Program 6.2
6.3
6.4
NOTE: Some items have been purposely pulled out of normal systems flow chart for emphasis.
Continuous Recycle Review and Modification

Each of these components listed in this model have sub-components that can be identified by each staff.

INVOLVEMENT: CITIZENS AND STAFF ADVISORY COMMITTEES

Staff - Curriculum and Advisory Councils: A model for staff involvement was previously presented in conjunction with the discussion of the utilization of the resource unit, and was entitled, "Decision Making at the School Level."

Community-School Advisory Committee: The following policy[47] outlines the procedure for Citizens Advisory Committees for the staff at schools in Cupertino:

> "The purpose of School Advisory Committees is to provide a method whereby citizens and educators can begin to understand better the attitudes and opinions which are held in the school community environment. Such committees will have as their purpose improved communication and understanding. It is not the intention of the Board of Education that these committees become policy-making bodies or that they manage or direct the school. It is assumed, however, that through improved understanding and information, the school can and will change in the direction of the clearly demonstrated needs and desires of the community to be served.
>
> "*Authorization.* Such committees are authorized under Board Policy No. 1230 - Citizens Advisory for the Staff, and shall operate according to organizational constraints as established by the Superintendent of Schools. The organizational format for each School Advisory Committee shall be submitted to the Superintendent for review and approval.
>
> "*Committee Composition.* All residents of the school attendance area, all parents of children enrolled in the school, and all school staff members shall be eligible for membership and participation.
>
> "The principal shall call an organizational meeting to which all persons eligible for participation are invited.
>
> "At an organizational meeting or at a subsequent meeting called for this purpose, the School Advisory Committee shall be selected or elected by those in attendance and an organizational plan established.
>
> "The specific number of people serving at any one time on a given School Advisory Committee shall be left to the discretion of the individual school community; this committee makeup shall appear in the organizational format as provided for in section II - Authorization.
>
> "The committee may function as an arm of the PTA or Home/School Club or as an independent unit, depending on the preference of that school community. The committee may elect such officers

"as it determines are necessary and desirable to accomplish the work of the committee. The principal of the school shall serve as advisor to the group.

"*Meetings*. Meetings shall be open public meetings and shall be held with sufficient frequency to assure continuity of activity and attainment of the purpose of the committee.

"*Functions*. The function of the committee will be to conduct and maintain such activities as are intended to: 1) Improve home/school communication, 2) Increase parent understanding of present school programs, 3) Improve staff understanding of parents' opinions and attitudes toward the school, 4) Improve joint exploration of future school needs and the improvement of the school program.

"The format in which the above functions can best be achieved shall be determined by the individual School Advisory Committee.

"*Communication with the School District*. It must be understood that under Policy No. 1230, such a committee is established to provide a Citizens Advisory function to the staff of the school and it is assumed that the important work of the committee will occur within this context. If the committee wishes to communicate ideas or information to the district administration or the Board of Education, the following channel is recommended.

"Such communications shall be jointly presented by the principal and the chairman of the Advisory Committee and should be forwarded to the Superintendent of Schools through the Area Director responsible for the school making the submission. Communications to the Board of Education should be routed in the same manner and will be transmitted by the Superintendent of Schools."

Corey[48] identified the following rationale for the establishment of Citizen Advisory Committees:

School advisory committees, made up of citizens interested in the operation of their schools, have as their main function, improving communication between the school staff and the community.

The formation of such committees grew out of a number of perceived needs which include:

... improved home/school communication
... increased parent understanding of present school programs

... improved staff understanding of parents' opinions and attitudes toward the school
... improved joint exploration of future school needs.

It is assumed that the effectiveness of the school and its staff can be greatly enhanced through the kinds of interaction made possible by such advisory committees.

Field Tested Alternative Model: School Community Council. Brick and associates[49] describe a school community plan approved by the Fountain Valley School District Board of Trustees, August, 1972. The plan identifies variables to be considered in the establishment of school community councils as follows:

"Individual Membership: Consideration for individual membership should include:

* An unselfish interest in the public schools, the community, and every child.
* A willingness to devote the necessary time to this position.
* The ability to think objectively and independently about goals.
* A clear recognition of the close relationship necessary between community, the local staff, students, and the educational program.
* The capability of recognizing and distinguishing between the functions of the Board of Trustees, educators, the District Community Council and the School Community Council.
* The habit of withholding judgment on critical goals until all pertinent facts are available.
* A record which has demonstrated consistently that he or she has a respect for other's opinions and for the dignity of each individual.
* A known advocate of the American democratic system.
* Any 6-8 level student may be nominated unless his/her parent or other relative is elected or is appointed a member of the council. Academic achievement will not be a criterion for nomination.

"Council Membership: The council should be representative without being cumbersome. The local School Community Council will function with seven to eleven members on each community, school, and student panel. The teacher panel may function with total staff, but when all three panels meet as a council, the teacher panel will be represented by seven to eleven members.

"The principal will serve as advisor. He is not a member

of the Council. The principal represents the Fountain Valley School District Board of Trustees.

"Election of Members to Serve on School Community Councils: The School Community Council members shall be elected according to the following provisions:

* The principal shall appoint three separate ad hoc committees of three members each for citizens, teacher, and students for the election of each of the three panels - citizens, staff, and students. The total ad hoc committee (nine members) will implement and validate the first election of the initial School Community Council. Ad hoc committee members may not be nominated for election and/or appointed.
* Citizen members shall be elected geographically within the local school attendance area. No citizen member may be under eighteen years of age or be excluded from nomination because of race, religion, political affiliation, or expressed opinion.
* Three ad hoc committees will be appointed by each of the three elected panels in the South Community Council for subsequent years to perform the nomination function beginning with the 1972-73 school year election.
* The length of term will be one year with an option to run again the following year.
* Procedures for elections developed by the combined ad hoc election committee shall be reviewed and approved by the Assistant Superintendent of Administrative Services prior to nomination of candidates.
* Procedures for nominating citizen or student candidates for School Community Membership shall:
  1. Provide for a nomination meeting to be held on the school site.
  2. Permit nomination of students or residents who live in the school geographic attendance area only.
  3. Be established by the election ad hoc committees.
  4. Provide for notification of students, parents or citizens in the attendance area of nomination procedures, meetings, election procedures, and other pertinent information relative to election of the School Community Council.
  5. Obtain consent of nominees in writing or verbally before their names can be placed on the election ballot.
  6. Assure nomination for all membership positions to be filled.

"* Procedures for the election of School Community Council members:

1. Provide for the preparation of election ballots containing, in alphabetical order, the names of all duly nominated and qualified candidates.
2. Indicate the positions on the three panels to be filled and procedures for marking the ballot.
3. Provide for the election on the school site and a specified date and/or mail out election ballots to citizens to be returned to the school for the tally.

* Procedures for determining and filling vacancies:

1. A panel will declare a position vacant when a member has been absent three successive meetings. Membership, however, may be continued after proper investigation and majority vote of the School Community Council panel members.
2. If, through elections, all positions are not filled, the principal and the Nominating Ad Hoc Committee shall accept volunteers and/or appoint the remaining membership of the School Community Council. Such appointments shall be for the duration of the school year.

"Internal Structure and Procedures of School Community Councils.

* Each panel in the School Community Council should have at least a chairman, vice chairman, and reporting secretary. These members will be elected from within the group during the panel's initial meeting each school year. (Principals will offer school secretary services as recording secretary to any panel and to total council.)
* The nominating meetings for the School Community panels shall be held on the school site not later than the first day of November each school year.
* The election and/or appointment of School Community panel members shall be completed not later than the third week of November each school year.
* The first official meeting of all three panels (students, citizens and teachers) of the properly elected School Community Council members shall be held at each school not later than the last school day of November each year.

There shall be a minimum of two meetings of the School Community Council per year, while several meetings of the three panels may be scheduled separately.

"* By-laws are necessary, describing internal operations, limitations and procedures. By-laws shall be approved by Assistant Superintendent of Administrative Services before publication.

"Copies of the by-laws may be obtained upon written request to the Fountain Valley School District.

"Principal's Role on School Community Council. The accountability and responsibility for local school decisions must rest with the principal, who operates under the delegated authority of the Board of Trustees. The principal must consider all factors and viewpoints bearing on a problem and is an advisor to the separate panels and Council. Many points of view should be expected regarding goals and evaluation design.

"The responsibility for personnel matters at each school site rests with the principal. The School Community Council may advise the principal of general concerns regarding students or district personnel. However, any challenge to the conduct or competency of an individual staff member must be pursued through procedures established by State law and/or policies of the School District.

"The school principal, working under the specific direction of the Superintendent, and general direction of the Assistant Superintendent, Administrative Services, has the responsibility to:

* Establish a School Community Council in accordance with adopted guidelines and procedures.
* Attend all School Community Council and panel meetings.
* Be responsible for recording all council and panel proceedings and keep a current file of council and panel minutes.
* Provide secretarial services for council and panel related activities.
* Advise the Council and its individual panel members on all questions brought before the Council pertaining to goal setting, evaluation design, and other issues of concern.
* Investigate and report back to the Council or panels on all questions brought before the Council pertaining to goal setting, evaluation design, and other issues of concern.
* Consider all advice, factors, and viewpoints regarding goal setting, evaluation design, and other issues of concern.

"* Provide adequate housing, supplies, and accommodations for Council and panel meetings and activities.

* Act as liaison between council, panels, staff, students, parent groups, district administration and interested citizens.

* Make internal school location decisions in accordance with council suggestions, legal requirements, board policy, and other procedural requirements of the District.

* Forward School Community Council suggestions which could affect other schools in the District to Assistant Superintendent, Administrative Services, for analysis by the District Community Council.

* Communicate specific actions taken by the Board of Trustees regarding School Community Council suggestions.

* Forward recommendations and suggestions from Council to District Community Council when such suggestions or recommendations are outside the scope of the local school decision making authority."

District-Wide Citizens Advisory Committee: Thayer[50] and Doornbos[51] identify curriculum projects which were developed as an outgrowth of districtwide Parent-Superintendent Information Councils.

District-Wide Staff Curriculum and Advisory Committee: One model of a districtwide curriculum advisory committee is that utilized in Timber School District.[52]

"ORGANIZATIONAL FORMAT FOR THE ADVISORY
COUNCIL FOR CURRICULUM AND INSTRUCTION

I. Name: Advisory Council for Curriculum and Instruction.

II. Membership:

A. The Council should consist of:

1. (1) Representative from each of the District's schools
2. (1) Chairman
3. (1) Recorder
4. (3) Representatives at Large
5. (1) Representative from the Administrative Council
6. (1) Representative from the Timber Education Association
7. (1) Representative from the Conejo Valley Federation of Teachers
8. (1) Representative from the Office of Educational Services
9. District Superintendent as an ex officio member and always welcome

"B. Membership shall be augmented as needed.

C. Membership on the Council should be for a minimum of two consecutive years. For ease of operation it is recommended that no more than one-half of the members be replaced each fall.

D. Current members of the Council may request that they be re-nominated. Other faculty members who wish to secure a seat on the Council may submit their names to a current member of the Council. When more than one application is received from a school or organization, the Council shall determine who shall fill the vacancies.

III. Meetings:

A. Frequency of meetings shall be determined by the members of the Council.

B. Attendance - When a school, department or organization is no longer adequately represented, the Council may request a replacement.

IV. General guidelines concerning curriculum and instruction:

A. Study proposed changes in current practice.

B. Insure legal requirements are being met.

C. Provide an attentive climate for hearings.

D. Evaluate areas for study and recommend to Superintendent for study and/or action

E. Provide continuity and coordination for task force committee work.

F. Suggest possible nature and scope of task force committees and sub-committees.

G. Suggest procedures for sub-committees.

H. All personnel may request a study or present ideas relating to curriculum.

V. Guidelines for implementing program through the Advisory Council for Curriculum and Instruction:

A. Each program under consideration must be thoroughly researched.

B. Contact the Advisory Council for Curriculum and Instruction Chairman to acquire space on the Council's agenda.

"C. Be prepared for in-depth questioning of your program.

D. Advisory Council for Curriculum and Instruction evaluates presentation and makes a recommendation in writing.

E. An evaluation of the program will be made after it has been instituted by the Advisory Council for Curriculum and Instruction.

VI. Task Force Committee Guidelines

A. Task Force Chairman shall be appointed by the Advisory Council for Curriculum and Instruction. Task Force Chairmen shall be responsible to a specific Advisory Council for Curriculum and Instruction member.

B. Task Force Chairman shall choose own committee members.

C. Task Force committees shall be responsible to do research in programs, problems and evaluation procedures.

D. Task Force Committee shall be certain all personnel have been given an opportunity to react to the proposal, i.e., meetings, survey, staff meetings."

Other District-Wide Involvement Committees: To insure participative management permeates all other aspects of the district organization, a variety of staff standing or continuing committees are established. These committees have broad representation of teachers and administrators at elementary, intermediate and high school levels, and classified staff, whenever appropriate. These vary from district to district, but examples are those utilized by Santa Clara Unified[53]:

"*EPPC (Educational Policy Planning Committee).* The purpose of the Educational Policy Planning Committee is to encourage new or innovative programs which are beyond the resources of individual schools or SAGA's. Projects are submitted in goals and objectives format with built-in evaluative criteria. These are reviewed by the EPPC. Approved projects are then submitted to the Superintendent and Board with a recommendation for funding. In addition, EPPC may also recommend new instructional policies or procedures. Any teacher or administrator, including central office personnel, may submit proposals to EPPC.

Fiscal Planning Committee. The Fiscal Planning Committee is charged with the responsibility of recommending procedures to the Superintendent to implement fiscal aspects of Board Policy 2000 - which outlines the thirteen characteristics of the district. In order to do that, they have developed the "Budget Preparation Handbook" and the Resource Allocation Formula described in 5.0.

"*Budget Priority Committee.* The uncertainties of projecting income may necessitate consideration of budget deletions and/or additions during the budget planning process. In this event, priority decisions may be made within and between the various operating units in the district. The procedures for establishing these priorities are as follows:

* Priorities within the operating unit will be established by the staff of that unit. These priorities are subject to review by the Budget Priority Committee and the Superintendent/Designee.

* Priorities between the operating units will be established by the Superintendent and Board of Education upon the advice of the Budget Priority Committee. This committee will be appointed by the Superintendent and will be responsible directly to him.

Management Teams. Management teams are established to attack problems as needed. They are established for a specific purpose and time. Care is given in the establishment of teams so that their responsibilities do not overlap the role of the SAGA's, and so there will be an adequate flow of information to and from the SAGA's. Usually, each SAGA is represented on the management teams. Management teams may be organized to achieve process or instructional goals.

Periodic evaluation of the management teams takes place to combine or eliminate teams whenever possible.

Executive Committee. Establishment of an Executive Committee to achieve the organizational characteristics and the most effective and efficient operation of schools and departments. This Executive Committee facilitates two-way communication between the schools and the centralized services of the district office and to serve as an advisory group to the Superintendent and is composed of:

* Chairman of four School Attendance Group Areas
* Division heads."

Hot Idea Fund - Funding of Projects to Stimulate Innovation.

Districts like Norwalk-La Mirada and San Jose have established separate accounts in a "hot ideas fund" - a fund available to teachers to finance innovative projects. This fund is to stimulate the creativity of the staff, and is frequently administered by a committee of teachers and administrators who recommend or approve funding of projects that may or may not be of districtwide interest. These projects, however, usually meet certain criteria and should relate to district goals. This fund is one means whereby any individual has access to funds.

This may be utilized independently, in conjunction with school funds or those from federal, state or private funding. Districts should always build in an evaluation of each project and a method of disseminating successful results.

THE PRINCIPAL - THE KEY TO EDUCATIONAL CHANGE

John Goodlad, Dean of the School of Education, UCLA, and Director of the Research and Development Division of the Institute for the Development of Educational Activities, in describing one of the assumptions upon which the League of Cooperating Schools was based, has stated,[54] ". . . *the local school, with its pupils, teachers, principal and community is an appropriate -- perhaps the most appropriate -- unit for change.*"

To be truly effective the concepts of decentralization and participative management must reach out and include not only the higher levels of the institution or district, but must also reach into the *local school!*

> . . . a major objective of school decentralization is that of making schools more responsive to the particular populations they serve, by making them accountable to the communities from which they draw their enrollments.
>
> It is believed that if the school were accountable to the community by being truly responsive to its educational needs, parents would show greater respect for schools and more favorable attitudes toward education. These attitudes would filter down to their children and would be reflected in the attitudes and performances of the students in those schools.
>
> Henry Levin
> New Models for American Education

To assist administrators in the State of California, Project Leadership (formerly Project Evaluation) was designed to form a consortium between contracting school districts and the state professional administrators association (ACSA). Ed Beaubier, Project Director, writing in THRUST[55] stated, "The ACSA project is directed to the task of providing the school principal with the skills and knowledges required to systematically improve the effectiveness of the school program. This implies change -- change that needs to be introduced as a result of identified deficiencies and a thorough analysis of solutions which hold reliable promise for improvement."

WRITTEN SCHOOL PLANS FACILITATE UNDERSTANDING AND COMMUNICATION

It is obvious to everyone that to provide a systematic model of accountability it is extremely important to facilitate understanding and communication with staff, superiors, parents and community that the plans should be written. Some examples from San Francisco Unified, Fountain Valley and Soquel Districts are listed to show variation in approach. (Schools may have been working on several goals at the same time but these others are not included.)

ACTIVITY DESCRIPTION

School *Jose Ortega Elementary* COMPONENT UTILIZED:

District *San Francisco Unified*

Project Principal *Walter Morris*

Satellite Number *#2 - Region A*

Needs Assessment	____
Administrative Support System	____
Problem Solving	____
CSE Kit	*x*
Delphi	____

1.0 PROBLEM: * A brief description of the problem to be solved in the participant's school or district as a result of implementing the Project Evaluation component.

Teachers and parents of Jose Ortega Elementary School expressed concern about improving communication with the home, school and community in order to arrive at some generally acceptable goals.

Since February 1970 the Center for the Study of Evaluation, UCLA, provided the guidelines for assessing the needs of Jose Ortega School. The goals in the affective domain were of most concern. Bussing came to San Francisco in September of 1971 causing a change in staff, children and parents in excess of fifty percent. The new staff members and parents voted to continue seeking solutions in the affective domain and in the area of mathematics.

*New Problem was identified:

Needs Assessment	____	Identified by Principal	____
Staff Identification	__	Parent Complaints	___
Community Complaints	__	Student Complaints	___
District Directive	____	Other	___ (use space below)

Who was involved in identification?

_____

2.0 PLAN OF ATTACK: A brief description of procedures to be employed by the participant to solve the stated problem.

In order to improve communication to work toward the stated goals, a weekly "Planning Day" was inaugurated in February of 1971. Attached memos and letters reflect the sequential steps taken.

A core of experienced teachers remained on the staff and formed the nucleus of each committee. They assumed the responsibility of revising the goals in the affective domain and establishing goals for grade levels in arithmetic. Jose Ortega changed from a K-6 to 4-6 school as a result of busing.

Resources:
District Specialists
Parents
Mini-Grant (Federal) to assist in the affective domain
In-Service with another ACSA school in S.F.
ACSA - SMERC - PERI - FIDO
Ulloa Teacher Training Center
Zone 7 - Park South Teacher Center

3.0 METHOD OF ASSESSMENT (How to tell if achieved) (Mid-point monitoring)

Mathematics: (Tests 1-3 = Teacher made tests)

1. *Pre-test - October*
2. *Progress Test - December and March*
3. *Final Test - May*
4. *Test Sampling Procedures (See Kit IV - Page 10)*
   SRA Achievement Series - Arithmetic - Concepts
   Comprehensive Tests of Basic Skills - Arithmetic Total - (See Kit III - Pages 54 & 55) (To be purchased from Parent Site Committee Funds)

Affective Domain: Unable to reach any consensus to date.

4.0 RESOURCES UTILIZED IN CONSIDERATION OF ALTERNATIVE:

SMERC	x	Satellite Principal	x
PERI	x	District Personnel	x
FIDO	x	Other ___ (use space below)	

ACTIVITY SCHEDULE

School _____ Project Principal _____

District _____ Satellite Number _____

This Activity Schedule related to Activity Description Problem:

A step by step plan to complete task

Task to be accomplished		Person Responsible	First Date It can be Completed
1.	*"Planning Day" to establish better communication and to arrive at goals etc., using CSE Kits 1-5 as guidelines. Process began 10/70. Planning Day in operation February 1971 (see attached letters and memos for sequential steps)*	*Principal*	*June 1971*
2.	*Conduct curriculum meeting with 4th and 5th grade staff*	*Principal*	*9/16/71*
3.	*Conduct curriculum meeting with 6th grade teachers*	*Principal*	*9/22/71*
4.	*Floor Chairman meeting on goals and indicators*	*Principal or Chairman*	*1st & 3rd Thursday*
5.	*Weekly meeting with new teachers to Ortega on "Project Evaluation"*	*Principal*	*Wed 7:45 a.m.*
6.	*Weekly meeting with all Special Services Staff on setting goals for the affective domain*	*Principal or Social worker*	*Tuesday 8:00 am*
7.	*Concepts and computation pre-test*	*Teachers*	*10/25/71*
8.	*Progress tests*	*Teachers*	*December and March*
9.	*Final teacher made test*	*Teachers*	*May*
10.	*Test Sampling Procedures (See Kits 3 & 4) SRA concepts and computation*	*Principal*	*May*
11.	*Teacher Training Workshop on individualizing Math*	*District Staff*	*10/26 and each month thereafter*
12.	*Human relations (affective domain) six weekly sessions with Dr. Keller, psychiatrist, beginning 10/5 and terminating 11/9*	*Dr. Keller*	*10/5 - 11/9 weekly*
13.	*How do children learn? Setting goals and goal indicators. Dr. J. Richard Suchman, Director Learning Center Park South. Voluntary meeting during lunch period twice per month*	*Dr. J. R. Suchman*	*10/22 - 4/71*

PROJECT EVALUATION - ACTIVITY DESCRIPTION

SANTA CRUZ GARDENS SCHOOL

PROBLEM - 1st Level

Many children lack desired motiviation for classroom activity immediately following scheduled recesses.

PROBLEMS - 2nd Level

1. *Congested playground causes behavioral problems during and following recesses.*

2. *Principal is not always available to "handle playground discipline" following recesses.*

ANALYSIS OF PROBLEM

1. *"Valuable" classroom activity is interrupted by scheduled recesses.*

2. *Yard duty teachers are often unfamiliar status figures to children who only see these teachers during recess.*

3. *Behavior is usually modified more effectively when child's classroom teacher helps child solve his own behavior problem.*

4. *Principal's management role is weakened if trivia requires too much of his time and energy.*

5. *Teachers have difficulty returning to the classrooms at the "appointed" time.*

6. *It is felt that a more responsible self-concept can be developed among children if they are not required to "line-up at the door" following playground activity.*

OBJECTIVES

1. *Each child will possess the attitude that will indicate motivation toward completing a learning task even if the task is interrupted by another activity that would take him briefly from the classroom.*

2. *To create a daily schedule whereby the classroom teacher will make the decision to program playground recesses as she senses that her class would profit by such a break.*

3. *To create a learning environment whereby each teacher can be largely responsible for dealing with playground "discipline" for members of her own class.*

PLAN OF ATTACK

The principal will involve the staff in establishing a "non-bell" schedule providing freedom for teachers to decide when and for what duration playground recesses will be held.

PRINCIPAL: Duane Beaubien

SOQUEL SCHOOL DISTRICT

FOUNTAIN VALLEY SCHOOL DISTRICT

EDUCATIONAL PLAN

DISTRICT GOAL #15

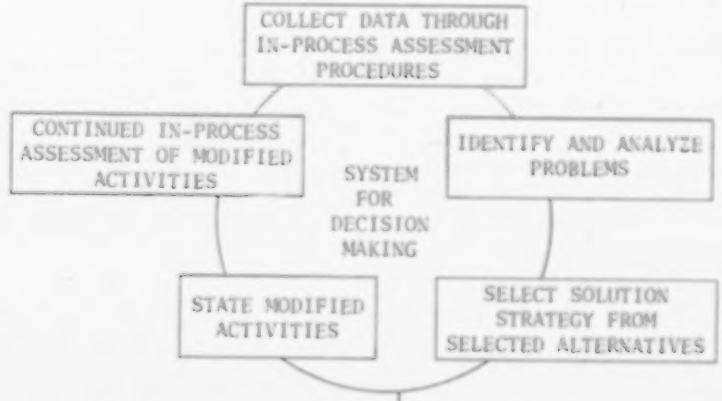
TO PROVIDE DIFFERENTIATED CHANNELS OF COMMUNICATION WHICH ENCOURAGE MUTUAL UNDERSTANDING, COOPERATION, AND A RESPONSIVE RELATIONSHIP BETWEEN THE SCHOOL DISTRICT AND THE COMMUNITY

SCHOOL GOAL #1

TO DEVELOP AND MAINTAIN STRONG COMMUNICATION CHANNELS BETWEEN THE SCHOOL AND NEWLAND COMMUNITY BY FREQUENTLY PROVIDING A VARIETY OF COMMUNICATION ACTIVITIES AND EVENTS

SCHOOL OBJECTIVE #1

DURING THE 1971-72 SCHOOL YEAR, THE NEWLAND STAFF WILL DEVELOP AND CONDUCT A PARENT INFORMATION PROGRAM WHICH WILL INCLUDE THE DEFINING AND EXPLAINING OF THE SCHOOL DISTRICT'S POINT OF VIEW, THE SCHOOL INSTRUCTIONAL PROGRAM, THE SCHOOL'S EDUCATIONAL PLAN AND OTHER AREAS OF INTEREST, CONCERN OR NEED AS IDENTIFIED BY THE COMMUNITY. EACH PROGRAM WILL BE EVALUATED BY USE OF A PARENT SURVEY INSTRUMENT.


COLLECT DATA THROUGH IN-PROCESS ASSESSMENT PROCEDURES
CONTINUED IN-PROCESS ASSESSMENT OF MODIFIED ACTIVITIES
IDENTIFY AND ANALYZE PROBLEMS
SYSTEM FOR DECISION MAKING
STATE MODIFIED ACTIVITIES
SELECT SOLUTION STRATEGY FROM SELECTED ALTERNATIVES

ACTIVITY	TO BE PERFORMED BY	BEG. DATE	END. DATE	ASSESSMENT METHOD	EVALUATOR	ACTIVITY MODIFICATION
1. Distribute monthly school progress and/or information letters	Teaching Staff	Sept 1971	June 1972	Progress Report-Educational Plan	Principal	
2. Distribute quarterly report on Learning Center activities	Learning Coordinators	Nov 1971	June 1972	Progress Report-Educational Plan	Principal	

FOUNTAIN VALLEY SCHOOL DISTRICT
MANAGEMENT COMPONENT RECORD SHEET (Continued)

DISTRICT GOAL #15
SCHOOL GOAL #1
SCHOOL OBJECTIVE #1

ACTIVITY	TO BE PERFORMED BY	BEG. DATE	END. DATE	ASSESSMENT METHOD	EVALUATOR	ACTIVITY MODIFICATION
3. Send general school information letters	Principal	Sept 1971	June 1972	Progress Report-Educational Plan	Principal	
4. Attend Community Coffees	Principal and Staff	Oct 1971	June 1972	Total coffees conducted	Principal	
5. Conduct parent information meetings	Principal and Staff	Oct 1971	May 1972	Evaluation form	Principal	
6. Schedule formal parent conferences	Teaching Staff	Nov 1971	April 1972	Conference Summary Report	Principal	
7. Schedule informal parent conferences	Teaching Staff	Sept 1971	June 1972	----	----	
8. Distribute reports on special programs (Reading Specialist, EH, MGM, etc.)	Teaching Staff	Oct 1971	June 1972	Evaluation form	Principal	

MONITORING AND EVALUATION

In designing a plan, it is important to design a form of evaluation (summative) to tell when or how well we have achieved our goals at the conclusion of a project. However, a system, no matter how well designed, left to its own devices may soon begin disintegrating due to lack of interest or repair. A system of overseeing is necessary to insure midway (formative evaluation) corrections are made at appropriate times so that appropriate goals and objectives are achieved. Zeyen, in reporting on the system in Norwalk-La Mirada, stated:[56]

"The evaluation component of a system of accountability, based on specified performance objectives, is the basis for personnel evaluation and program revision. As in industry, evaluation establishes the quality control of the organization. Achievement, not the amount of resources allocated, is the criterion of success.

"A complete evaluation takes a close look at the degree to which instructional, curricular and management objectives are met. The primary concern is for instructional objectives, but poorly performed management functions can establish road blocks which directly and indirectly reduce the effectiveness of the classroom teacher.

"The process of monitoring the educational program at Norwalk-La Mirada rests in the hands of the various divisions: Business Division, Personnel Division, Educational Services Division. In the Educational Services Division, the Area Directors monitor programs in the schools which they service. In this capacity, their objectives are written as summaries of the performance criteria objectives generated by persons under their supervision.

"This crucial part of our program is the monitoring process."

THE PURPOSE OF EVALUATION IS NOT TO PROVE BUT TO IMPROVE![57]

EVALUATION RATIONALE

This monograph will not go into detail on evaluation strategies but a rationale a district or school might consider is one similar to the rationale Beaubier adopted for Project Leadership:[58]

"1. The underlying rationale in the project should be the needs of the learner.
2. The criteria for the evaluation of the program must emanate from *within* the school and not be imposed externally.
3. The district Board of Education and the community to be served by a school should be influential in establishing the goals of that school.

"4. The people who are responsible for effecting the educational program must be primary participants in the evaluative process.
5. Necessary educational change should be preceded by systematic evaluation.
6. The evaluation program must be an ongoing process."

BOARD POLICY CLARIFIES RESPONSIBILITIES OF PRINCIPAL

> Change will occur when a principal creates new horizons for his teachers and involves them actively in seeking the sun.
>
> Jerrold M. Novotney
> "The Principal and the Challenge of Change"

It is quite desirable in the implementation of decentralization and participative management if the role of the principal and Board and Central Office staff expectations are clarified by written Board Policy and Administrative Regulation. An example is that of Santa Clara Unified.[59]

> "The District believes the individual school and principal are key agents in the change process necessary to keep the schools current with student and community needs. As a consequence, they have adopted the following policy:
>
> "*School Principal - Policy 2110.* The school principal is responsible for the management of the school to which he is assigned in accordance with provisions of the State Education Code and District Policies and Administrative Regulations adopted and approved by the Board of Education.
>
> "In addition, the principal is responsible for developing instructional program objectives for the school that are commensurate with the needs of its particular students; developing instructional programs adapted to capability of its particular students and designed to carry out the objectives of the schools; supervising and directing the implementation and operation of these instructional programs; assessing the attainment of these objectives, and revising objectives and programs based on this assessment.
>
> "In planning and decision-making relative to fulfilling the above stated responsibilities, the principal shall seek the advice of and confer with members of the instructional staff of the school. (Adopted 1/17/69)

"*Administrative Regulation - Process of School Management.* The principal shall establish committee(s) to advise him on the problems and opportunities, the preferences, and expectations of the faculty and students as they pertain to the needs, the structure, and function of the school.

"*General Responsibilities.* The principal shall be primarily and directly responsible for the operation and administration of all functions of his school; including fiscal management, employee performances, curriculum implementation, scheduling, student welfare, community relations, and plant and grounds maintenance.

"He shall perform a liaison role with the other principals in the district. He shall be the spokesman for the school in its relationship with the immediate community which it serves and work with community groups.

"He will instigate changes in operational practices and procedures which are consistent with district policies and administrative regulations to ensure the continued efficient operation of the school. He will be responsible for the development and administration of an annual school budget reflecting the program offered.

"*The Local School Community.* For information purposes, the principal maintains accurate records of the demographic characteristics of the community served by the school.

"He determines specifically the degree to which certain parents, and other interested groups in the community, can suitably contribute to the attainment of the school purposes, and the need they have for information about school activities.

"The principal is responsible for evaluating the interaction between the school and community and modifying the school-community relations program when desirable."

> Education can be improved. The first step to such improvement is to understand the change process. A second step is to establish goals. Beyond that, one needs a will and a way of working.[60]

SUMMARY

In this monograph, your authors have attempted to illustrate some of the more important components of decentralization and participative management with examples - working models. Many of these models are in a state of transition and will already have improvement or variation. They can, however, serve three prime functions:

1. to illustrate the concepts
2. to provide models for adaptation
3. to provide districts which the reader may contact in order to obtain additional information.

Decentralization and participative management are not panaceas to solve all problems in a school or district. They are not "pink pills" that, once prescribed and taken, can cure a terminal patient. They will not automatically change an autocratic administrator into one who is more democratic. They will not automatically change a *laissez-faire* administrator into an efficient leader utilizing the best concepts of democratic administration.

Decentralization and participative management can, however, provide a structure which stimulates creative participation. There is no one form of reorganization for decentralization that is guaranteed to be best. The greatest value is in participation in the process of studying the concept and developing a plan.

The following sample linear responsibility chart, developed by Wishart[61] is an example of one planning and communication tool which may be utilized in the re-examination of district organization. (See next page)

Decentralization and participative management are tools that can be utilized to move our schools into the "seventies and the eighties." A tool that can be utilized to bridge the gap between teachers and management, between management and the Board, between the Board and the people. It is a tool which can be effectively utilized to build into education *accountability*.

> We must find ways to bring accountability into our schools; accountability that is both effective and equitable.
>
> Wilson Riles[62]
> State Superintendent of
> Public Instruction

EPILOGUE

> Even if you are on the right track, you can get run over just sitting there.
>
> Anonymous

AUTHORITY INTERRELATIONSHIPS
(A sample chart)

	BOARD OF EDUCATION	SUPERINTENDENT	ASSISTANT SUPERINTENDENT	ADMINISTRATIVE ASSISTANT	DEPUTY SUPERINTENDENT	BUSINESS SERVICES: ASSISTANT SUPERINTENDENT	INSTRUCTIONAL SERVICES: CONSULTANTS	INSTRUCTIONAL SERVICES: COORDINATOR, INSTR. MATL. CENTER	INSTRUCTIONAL SERVICES: PROGRAM ADM., SPECIAL EDUCATION
ESTABLISH BASIC POLICY	1	4	3	3	3	3	3	3	3
IMPLEMENT POLICY	6	1	3	3	3	3	5	5	5
DEVELOP GOALS	2	1	5	3	3	5	3	3	3
DEVELOP OBJECTIVES	2	1	5	3	3	5	3	3	3
PLANNING INSTRUCTIONAL PROGRAM	2	3	5	6	6	1	5	5	5
PLANNING BUDGET	2	4	1	3	5	5	6	6	6
EVALUATION OF INSTRUCTIONAL PROGRAM	2	4	6	6	6	1	5	5	5
DEVELOP COMMUNITY RELATIONS	2	1	3	3	3	3	3	3	3
COORDINATE STAFF IN-SERVICE	6	4	5	6	6	1	3	3	3
COORDINATE IN-SERVICE TEACHERS-ADM.	6	5	6	6	6	1	3	3	3
RECR ITMENT OF PERSONNEL	2	4	1	6	6	1	6	6	6
ASSIGNMENT OF PERSONNEL	2	4	1	6	6	1	6	6	6
SELECTION OF PERSONNEL	2	4	1	6	6	1	6	6	6
EVALUATION OF PERSONNEL	2	4	1	6	6	1	6	6	6
ESTABLISH COURSE OF STUDY K-8	2	4	6	6	6	1	3	3	3

1. Actual responsibility
2. Approves
3. Advises
4. Recommends
5. Must be consulted
6. May be consulted

FOOTNOTES

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